DOCUMENT RESUME

ED 168 126	EA 011 393
TITLE	Part 2: Paperwork Problems in Elementary and Secondary Education. Hearings before the Subcommittee on Elementary, Secondary, and Vocational Education. Ninety-Fifth Congress, First Session on H.R. 15.
INSTITUTION	Congress of the U.S., Washington, D.C. House Committee on Education and Labor.
PUB DATE	77
NOTE	582p.; Not available in paper copy due to small print size of original document
EDRS PRICE	MF03 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Accountability; Cost Effectiveness; Data Bases; *Data Collection; Educational Legislation; Efficiency; Elementary Secondary Education; Equal Education; Federal Aid; *Federal Legislation; *Federal Regulation; *Government School Relationship; Higher Education; Management Systems; *Recordkeeping; Records (Forms); Student Financial Aid

ABSTRACT

The hearings contain an interim report on federal paperwork in the area of education by the Commission on Federal Paperwork. The commission's mandate was to develop ways of reducing paperwork associated with federal information demands while recognizing legitimate program planning and administration data needs. The commission examined the testimony of many witnesses at its hearings, reviewed letters, interviewed Congressional committee and agency staffs, and analyzed a substantial number of hearing records, government reports, and special studies. Two major respondent groups devoted special efforts to supply information about current reporting requirements; indepth studies were made at two institutions of higher education; and a task force studied federal reporting requirements for institutions of higher education and made recommendations for their consolidation. Problems selected are discussed from the standpoint of grants and contracts, student financial aid, nondiscrimination, and management controls. In each of these areas, salient problems are stated, analyzed, and recommendations are made. The next section contains a prepared statement from Carolyn Warner, Superintendent of Arizona State Department of Education, explaining how federal paperwork has been reduced by almost 60 percent in Arizona. The final section of the hearings contains testimony and prepared statements from several members of Congress and a number of individuals representing schools and organizations. (MLF)

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PART 2: PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION

ED168126

HEARINGS

BEFORE THE

SUBCOMMITTEE ON ELEMENTARY, SECONDARY, AND VOCATIONAL EDUCATION

OF THE

COMMITTEE ON EDUCATION AND LABOR HOUSE OF REPRESENTATIVES

NINETY-FIFTH CONGRESS

FIRST SESSION

ON

H.R. 15

TO EXTEND FOR FIVE YEARS CERTAIN ELEMENTARY, SECONDARY, AND OTHER EDUCATION PROGRAMS

HEARINGS HELD IN WASHINGTON, D.C.
MAY 24, 25, AND 26, 1977

Printed for the use of the Committee on Education and Labor
Carl D. Perkins, *Chairman*

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EDUCATION & WELFARE
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PART 2: PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION

TUESDAY, MAY 24, 1977

House of Representatives,
Subcommittee on Elementary, Secondary,
and Vocational Education,
Committee on Education and Labor,
Washington, D.C.

The subcommittee met, pursuant to notice, at 9:20 a.m. in Room 2175, Rayburn House Office Building, Hon. Carl D. Perkins, chairman of the subcommittee, presiding.

Members Present: Representatives Perkins, Simon, LeFante, Kildee, and Quie.

Chairman **Perkins**. The Subcommittee on Elementary, Secondary, and Vocational Education is beginning hearings today on paperwork problems in elementary and secondary education. These hearings are a continuation of our hearings this year on elementary and secondary education in general and on Federal programs in particular.

We have scheduled these hearings on the subject of paperwork because many of us have come to believe that undue paperwork is harming the effectiveness of Federal programs and that it is an issue which must be addressed broadly apart from any particular Federal program.

Over the last decade Congress has greatly increased the amount of Federal aid, the number of programs providing this aid, and the requirements necessary to receive this aid. Our purposes have generally been to improve the overall quality of education in the nation, to aid specific groups of needy students, and to promote equality of educational opportunity.

In the process of seeking these objectives though, the paperwork involved in administering these programs has become enormous. The Office of Education estimates that in 1973 it required participants in Federal programs to complete 43.4 million separate data items and to spend 2.2 million staff hours in this work. State and local educational agencies had to supply 11.2 million data items, using about 700,000 staff hours.

I am sure that none of us would dispute the principle that the Federal government must request and receive sufficient data to assure that its program objectives are being met and that state and local agencies are held responsible for these funds. But we must find out whether the enormous amount of data now being required is in fact what is needed to achieve accountability. It seems that there are at least some instances where data items are required and the information is never complied with.

It also seems that in some instances instructions for filling out forms are several pages longer than the forms themselves. It seems that redundant requests for the same information are made by different Federal agencies from the same recipient of funds.

What I am saying is that we must find a better balance between the data needs on the Federal level and the amount of time now being spent to supply that data. I hope that through these hearings, and further hearings this year, we will find the legislative or administrative changes which must be made and that we will act on them.

This committee made some initial efforts to this end in the Education Amendments of 1976. That law includes amendments requiring the National Center for Education Statistics to coordinate the collection of information involved in Federal education programs within the Education Division of the Department of Health, Education, and Welfare. Our purpose was to have a coordinating body which would cut back on redundant requests and unnecessary requests for data. Tomorrow we will hear from the National Center on their progress in implementing those amendments.

Today we have with us our colleague, Congressman Frank Horton from New York, who chairs the Commission on Federal Paperwork. I know that his testimony today will be invaluable to us.

Our second witness is Superintendent Carolyn Warner from the State of Arizona, one of the nation's foremost advocates of cutting back on unnecessary paperwork in education. She has done an outstanding job in this regard, and we look forward to her testimony and to her suggestions for improvements.

At this time it is a great pleasure to introduce one of our most outstanding colleagues in the House of Representatives, a gentleman who always has been constructive ever since he has been in the United States Congress, insofar as improving the quality of education and improving educational programs.

It is a great pleasure for me to introduce you, Mr. Horton. Procceed in any manner you prefer.

STATEMENT OF HON. FRANK HORTON, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF NEW YORK, ACCOMPANIED BY WARREN BUHLER, DIRECTOR, COMMISSION ON FEDERAL PAPERWORK; PETER FRANKLIN, ASSISTANT DIRECTOR, PAPERWORK COMMISSION, AND HOWARD E. HOLCOMB, STUDY GROUP ON EDUCATION

Mr. HORTON. Thank you kindly, Mr. Chairman.

First of all, I would like to introduce those who are with me. On my immediate right is Mr. Warren Buhler, who is the Director of the Commission on Federal Paperwork. To his immediate right is Pete Franklin, Assistant Director for the Paperwork Commission, and on my immediate left is Mr. Howard Holcomb, who is the person who headed up this Study Group on Education. He was formerly, the last five years before he came with the commission, with the Association of American Colleges. Mr. Franklin was Special Assistant to the Secretary of HEW before he joined the Paperwork Commission, and Mr. Buhler was one of the counsel with the Government Operations Committee before he joined.

The study report we have furnished to the committee, and I hope each of you has a copy of it.

Chairman. PERKINS. Without objection, it will be submitted for the record.

[The document referred to follows:]

DRAFT

THE COMMISSION ON FEDERAL PAPERWORK

REPORT ON

EDUCATION

APRIL 18, 1977

THIS STAFF REPORT IS SUBMITTED TO THE COMMISSION ON FEDERAL PAPERWORK FOR ITS REVIEW, AND IS NOT AN OFFICIAL REPORT OF THE COMMISSION.

FOREWORD

The Commission on Federal Paperwork was established by Public Law 93-556. Operating for two years ending in October, 1977, the Commission's mandate is to develop ways of reducing paperwork associated with Federal information demands while recognizing legitimate program planning and administration data needs. Section 3 (c) of the legislation directs the Commission to make a final report to Congress and the President upon completing its work, and authorizes such interim reports and recommendations as it deems advisable. Section 3 (d) requires the Office of Management and Budget to report to the Congress and the President at least once every six months, and make a final report within two years, on the status of actions taken upon submission of the Commission's final report. This is the Commission's interim report on Federal paperwork in the area of education.

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GLOSSARY OF ABBREVIATED TERMS

ACT	American College Testing Program
BEOG	Basic Educational Opportunity Grant
BOB	Bureau of the Budget, predecessor of the Office of Management and Budget
CCD	Common Core of Data
CCSSO	Council of Chief State School Officers
CEIS	Committee on Evaluation and Information Systems, Council of Chief State School Officers
CSS	College Scholarship Service
CWS	College Work-Study Program
DFAFS	Departmental Federal Assistant Financing System of the Department of Health, Education, and Welfare
EDAC	Education Data Acquisition Council
ERDA	Energy Research and Development Administration
ESAA	Emergency School Aid Act
FISL	Federally Insured Student Loans
GAO	General Accounting Office
GSLP	Guaranteed Student Loan Program
HEGIS	Higher Education General Information Survey
HEW	Department of Health, Education, and Welfare
IRS	Internal Revenue Service
LEA	Local Education Agency
NACUBO	National Association of College and University Business Officers
NASFAA	National Association of Student Financial Aid Administrators
NCES	National Center for Education Statistics

GLOSSARY CON'T.

NDSL	National Direct Student Loan Program
NIH	National Institutes of Health
OCR	Office for Civil Rights of the Department of Health, Education, and Welfare
OE	Office of Education
OFCCP	Office of Federal Contract Compliance Programs of the Department of Labor
OMB	Office of Management and Budget
PHS	Public Health Service
P.L.	Public Law
SEA	State Education Agency
SEOG	Supplementary Educational Opportunity Grant

I. Introduction

Our Nation holds the opportunity for learning among its primary requirements for a free and productive society. The early colonists had hardly settled before they initiated the first public Latin school in 1635, the first private college in 1636, and the first school supported by direct taxation in 1639. Cultivation and financial support of education were continued and increased through the years until, at the time of our Bicentennial, three of ten citizens in a population of 214 million were directly involved with education.[1] Approximately 59 million of these citizens were students, over 3 million were teachers, and another 300,000 were administrators or other staff members. No other nation has gone so far in advancing education.

The control of education thus far has remained at the State and local levels whether under public or private auspices. In the last two decades, however, the Federal Government has increased its policy making and financial roles. It has sought, for example, to end various kinds of discrimination and has funded special categorical programs such as aid to disadvantaged and handicapped children. During this period State and local financial support for elementary and secondary education increased at a greater rate as did State support for institutions of higher education (see Figure 1).

Estimated expenditures of education institutions for 1975-76 reached $75.1 billion for elementary and secondary schools and $44.9 billion for institutions of higher education, for a total of $120 billion, a sharp increase of approximately $100 billion in the last 20 years. The Federal share of these expenditures reached a high of 11.9 percent in 1967-68 but declined to 11.1 percent in 1975-76. The State share has increased meanwhile from 29.1 percent in 1959-60 to 34.7 percent in 1975-76 (see Figure 2).

The exact cost of Federal paperwork to educational institutions is illusive. In fact, the most severe costs may not be measurable in dollars at all. Educators complain that the rapid growth of educational bureaucracies at all levels has led to an increased concentration on the regulatory and administrative processes and the diversion of faculty from their primary responsibility -- teaching. One result has been the creation of an atmosphere of hostility within the institution bringing with it very real, though intangible costs.

Testimony of educators also demonstrates that substantial reallocation of institutional resources has often resulted from the steady and continuing imposition of intricate regulations and demands for increasing esoteric information. What makes the problem particularly acute is that these requirements are increasing precisely at the time when institutional resources and outside funding, in constant dollar terms, are generally on the decline.

Growth in Federal Interest

World War II marked a watershed in enactment of Federal laws and promulgation of accompanying administrative regulations affecting education. In the early years of our Nation Congress provided, first in 1787 with the Northwest Ordiance and later in 1862 and 1890 with the Morrill Acts, land and money grants for the establishment and support of education. Beyond that, until World War II, only an occasional Federal statute on some vocational education subject was enacted.

Then, in 1944, before the first serviceman invaded Europe, a grateful Nation provided in advance of their return home the promise of assistance for education to veterans in the Servicemen's Readjustment Act (P.L. 78-346), better remembered as the first GI Bill. This law, plus the greater mobility of our citizens caused by the war and its related technologies, transformed higher education from a promise open to only a few to a seeming entitlement for many. Wartime needs for technological development, research and specialized training also brought the Federal Government into much closer contact with colleges and universities.

The "baby boom" following World War II had a significant effect on education because more schools and more teachers were subsequently required. As the world of educational opportunity widened Congress manifested greater interest in covering some of the costs of programs to provide the buildings, staffs, and programs needed to assure equal opportunity for all. Many pieces of education legislation enacted since the 1940's demonstrate the expanded Federal interest and role. They have transformed the Federal relationship with the States and local education agencies (LEAs) as well as with educational institutions in the private or proprietary sectors. Among the enactments which demonstrate the growing role of the Federal Government in education are:

- 1944 Surplus Property Act (P.L. 78-457). Donation of Federal property to education institutions.
- 1946 National School Lunch Act (P.L. 79-396). Assistance to States for school lunch programs.
- 1950 Financial Assistance for Schools in Areas Affected by Federal Activity (P.L. 81-815 and 874. "Impact aid."
- 1950 Housing Act (P.L. 81-475). Loans for college housing.
- 1958 National Defense Education Act (P.L. 85-765). Assistance to States to strengthen instruction in mathematics, science and modern foreign languages; National Defense Student Loans (NDSL).

Figures 1 and 2

Figure 1 shows expenditures of educational institutions by source of funds. Figure 2 illustrates expenditures for elementary and secondary schools and institutions of higher education.

Figure 1

U.S. Department of Health, Education, and Welfare, National Center for Education Statistics. The Condition of Education: 1976, by Mary A. Golladay (Washington, D.C.: Government Printing Office, 1976), p.27.

Figure 2

U.S. Department of Health, Education, and Welfare, The Condition of Education: 1976, pp. 28-29.

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- 1963 Higher Education Facilities Act (P.L. 88-204). Grants and loans for undergraduate and graduate academic facilities.
- 1965 Elementary and Secondary Education Act (P.L. 89-10). Grants for schools enrolling children of low income families, books, strengthening State departments of education, etc.
- 1965 Higher Education Act (P.L. 89-329). Grants for community service by colleges, library assistance, and student grants and insured loans.

Much of this basic legislation has been amended by Congress repeatedly since 1968. Interspersed with these legislative initiatives have been important enactments affecting education with respect to civil rights, economic opportunity, refugee assistance, drug abuse, environmental education, juvenile justice and delinquency, Indian self-determination, and special consideration for deaf, handicapped, mentally retarded, and older persons.

Congress has included education in a lengthy list of legislation dealing with, among other issues, nondiscrimination, occupational safety and health, privacy, and pensions. These four topics are the subjects of other reports of the Commission, but certain educational aspects of nondiscrimination are discussed in Section IV of this report.

Forms of Federal Funding

Many of the laws affecting education are administered in the Office of Education (OE). The Commissioner of Education recently told a Senate subcommittee that he administered approximately 120 programs in Fiscal Year 1976 compared to fewer than 35 prior to Fiscal Year 1965.[2] During that period, appropriations for OE increased from $1.551 to $7.270 billion, an increase of 369 percent. While the number of programs grew by 243 percent, staff had been increased only 87 percent.

Created by Congress in 1867 to gather statistics on education, OE has become a program agency, essentially in the last 15 years. With each new law one or more sets of regulations must be issued by the unit of the executive branch that administers the program. In Section V this report discusses the role of Congress and suggests management controls for paperwork problems caused primarily by the rapid growth in size and number of Federal education programs.

Federal funding for education, in total approximately $22 billion in Fiscal Year 1976, is awarded to individuals, institutions and States. For individuals it may take the form of grants, loans, interest subsidies on loans, work-study stipende fellowships or scholarships, or a combination of these. For institutions it may take the form of grants or contracts for a specific program, loans or donation property. States receive assistance primarily through categorical or formula grants-in-aid and donable property.

Whatever the form of assistance, regardless of the amount or the source, a degree of reporting and accountability is necessary to ensure that the statutory objectives are being met and the Federal, State or private interest is accounted for. It is at this point that most paperwork burdens come between the provider and the recipient. Several funded programs supporting individuals and institutions are analyzed from this perspective in the following sections of this report.

Scope of this Study

To assess paperwork requirements placed on States, elementary and secondary schools, postsecondary institutions, and students, the Commission looked also at the originators of paperwork, Congress and the executive branch. To identify specific examples of unnecessary, redundant, and excessively burdensome paperwork, the Commission examined the testimony of many witnesses at its hearings (See Appendix A.), reviewed letters it received complaining about the paperwork burden, and sought evidence to substantiate many media reports on the problems of paperwork.

Congressional committee and agency staffs were interviewed for their perspectives on information and reporting requirements, and a substantial number of hearing records, Government reports, and special studies were analyzed. The Commission observed also a wide range of advisory council meetings, seminars on data reporting and agency reviews of survey instruments.

As a preliminary step in its research, the Commission conducted a quick survey of all OE programs to identify likely targets there for in-depth study. In the course of this survey, the Commission interviewed a sample of officers and analyzed the application and reporting process for selected OE programs.

The Commission then utilized the assistance of two major respondent groups which devoted special efforts to supply information about current reporting requirements. The Council of Chief State School Officers (CCSSO) through its Committee on Evaluation and Information System (CEIS) conducted a survey of its members to identify specific examples of paperwork problems that are especially burdensome in time and dollars. In higher education, the American Council on Education designated the National Association of College and University Business Officers (NACUBO) to coordinate production of information from institutional membership associations and three specialized organizations of registars, personnel, and financial aid administrators. In addition., the Commission was in contact with the entire range of Washington-based education associations, including student groups.

Through coordinators in each State and several territorial jurisdictions, CEIS monitors agencies that collect data from elementary and secondary schools and State Education Agencies (SEAs). CEIS has given high priority in recent years to the timing of and amount of data collected in civil rights surveys, the need for coordination of collection of data among Federal and State agencies, and multiple uses of data. These priorities and the roles of respondent groups are discussed in Sections IV and V of this report.

NACUBO appointed a paperwork committee in higher education and identified several areas of concern, including:

- The Employee Retirement Income Security Act of 1974 (ERISA),
- The Higher Education General Information Survey (HEGIS),
- Nondiscrimination requirements,
- Student financial assistance, and
- Grants and contracts.

ERISA is the subject of a separate Commission report; the other concerns are analyzed in this report.

The Commission concluded early that a broad approach to a large number of institutions would be more productive if it were preceded by studies in greater depth at one or more institutions. Accordingly, such studies were made at the George Washington University and at the University of Maryland at College Park. These institutions, one public and one independent, deal with a large number of Federal agencies because of their location and the variety of their expertise. Although the studies centered upon Federal contracts and grants for research, instruction, and public service, they inevitably involved other areas as well.

Inter-Agency Task Force

The Secretary of Health, Education, and Welfare, at the President's request and with the support of the Council of Economic Advisers, convened a work group to study Federal reporting requirements for institutions of higher education and to make recommendations for their consolidation and simplification. This work group of ten people included representatives of the Commission. It met for two weeks in October, 1976, and presented 15 recommendations. These were referred by the Secretary of HEW to the heads of 15 Federal departments and agencies, including the Commission on Federal Paperwork. They were asked to delegate one or more responsible officials to form an inter-agency task force.

The Task Force, which consisted of 30 members including two representatives from the Commission, met regularly during November, 1976. The 15 recommendations of the earlier work group were expanded, supplemented, and revised. The final report of the Task Force, submitted December 14, 1976, included 19 specific recommendations for the reduction of the paperwork burden on higher education. (See Appendix B.) The Commission representatives were able to contribute regularly to the Task Force deliberations, and several of the 19 recommendations coincide with and reinforce recommendations of the Commission in this report.

Major Themes of the Report

As the Commission analyzed the information it obtained from the sources indicated above, the complaints and criticism could be grouped into six general categories. These are discussed below.

Late Feedback of Results. Education respondents complain frequently about the lateness or absence of feedback on information supplied Federal agencies. They indicate also that some of the feedback they do receive is not useful. Some of the complaints relate to affirmative action plans submitted that are not acknowledged or reviewed for periods of three or four years and others to certified letters requesting clarification of instructions for civil rights surveys tht go unanswered before the filing deadline is at hand.

Many comments about late feedback relate to general information surveys in either higher or elementary and secondary education where publications of data are frequently four years late. A library survey of elementary and secondary schools was conducted in 1974, according to CEIS, and no feedback had been received by early 1977 when plans were announced for another survey.

NCES recognizes this problem and does make available to researchers and others computer tapes and other forms of data compilation for their early use. It also has begun providing earlier, briefer analyses of much of its collected data. The late feedback problem is a significant element in several of the recommendations in this report, particularly in Section IV.

Insufficient Lead Time. A univeral problem in Federal paperwork is the absence of sufficient lead time to respond to a survey, study, reporting form, application or proposal. Frequently, insufficient lead time is due to a legislative mandate, agency tardiness, a decision to await funding, or an independent agency activity.

Some examples of insufficient lead time are:

- An eastern State department of education stated that four vocational education program report forms were received two weeks after the reports were due; that a program outlay form by geographical districts was received 15 days after the due date of the report; that evaluation report forms for Titles IV and IX were received one week before due date for completion; that an application for a handicapped education program was received less than one month before the date for completion; and that an application under Title III was received only two weeks before it was due to be completed.
- A higher education survey of information on recipients of degrees conferred, requiring information not collected earlier, was received after the graduation and departure of awardees from the campus.
- A private university in the midwest received an application on June 8 for the continuation of a Federally-funded child development program, with a notice of a related workshop for applicants to be held June 10 and 11, and a completed application due date of June 14.
- A biennial civil rights survey of elementary and secondary schools, administered primarily through State departments of education, was issued almost three months after the start of the school year.

The concept of sufficient lead time for surveys, specifically at least nine months prior to the start of a school year, has been advanced in recent years both by the American Association of Collegiate Registrars and Admissions Officers and by the CCSSO. Whether surveys are directed to colleges, schools, or States, the institutions and States contend they need that much time to build their annual data acquisition plans in order to collect the data during matriculation or registration and then prepare the response. Information requests arriving after that planning and collecting cycle involve a second collection of data and usually require a manual compilation. Specific examples are found in Section IV of this report where school civil rights surveys and HEGIS are discussed.

If Federal agencies would develop annual data acquisition plans before sending out their requests, as a few have recently begun to do, the announcement nine months in advance of their intention to collect data would materially enhance the quality of data received. Without sufficient advance notice, data must often be estimated because they are not available. Discussion of and specific recommendations for lead time of this kind are included in Section V of this report.

Duplication of Collection. Duplication is frequently a matter of interpretation. The Federal or State program manager, the staff person in a statistical agency, or the researcher under contract or in a private organization may not consider the problem of duplication unless that person is required to determine whether the data are available elsewhere. Even then, duplication may not be deemed to exist unless the data are found in the identical form the collector requires, after which the collector may decide it is easier to collect them again than to use the alternate source.

To the education respondent, duplication exists when data are required by more than one agency, whether or not the requirements are in precisely the same form. To the respondent, the Federal Government is unitary and its agencies are expected to make common and multiple uses of information in the interest of efficiency and economy. Some examples to the contrary cited by respondents are:

- Students file family financial information in different formats at least twice, and often three times, in applying for grants, work-study stipends or direct loans.
- Students provide much of the same or similar data when completing as many three applications for Federally Insured Student Loans.
- Higher education enrollment surveys by Federal agencies, and some State agencies or regional bodies, request similar data.
- Employment reporting forms of the Equal Employment Opportunity Commission and the National Center for Education Statistics (NCES) require similar information by different classifications.
- Pupil, annual, and performance report forms for Title I of the Elementary and Secondary Education Act require similar data.

- Four separate migrant student surveys by the same agency involve duplicate information.
- Application and fiscal operations report forms for Federal campus-based student aid programs contain duplicate data requests.
- Financial reports for fiscal control and reports for program monitoring of grants and contracts involve duplicate data requests.
- School districts awarded grants provide much of the same data quarterly to program and finance offices and annually both in final programs reports and statutorily mandated reports to the Commissioner of Education.

Duplication is difficult to track or analyze except on a form-by-form basis as questions are raised by respondents, agency clearance officers, or OMB final clearance staff. Collection of data is not coordinated by a central agency, and there is no automated index of data elements collected by statutory authority, subject or purpose. Duplication of data collection can be checked only after first examining HEW's Annual Data Acquisition Plan, which is a computer printout of descriptions of forms for the Education Division of HEW or OMB's Inventory of Active Repetitive Public Use Reports approved under the Federal Reports Act, which is a computer printout of titles, agency report numbers, and descriptive information by agency.

In Section V if this report, the Commission makes a series of recommendations intended to reduce unnecessary duplication. Several other recommendations elsewhere in this report are directed also toward this problem.

Unrealistic Data Requests. Education respondents are unnecessarily burdened when faced with requests for data that are not reasonably available, excessive, or not used. A major souce of these complaints in the last three years relates to civil rights surveys of elementary and secondary schools and to affirmative action plans of institutions of higher education. A limited review of the agency administering these programs by the General Accounting Office in 1976 indicated that the agency did not know and could not ascertain for fiscal years 1970-1976 how many complaints had been received by type and authority and how many compliance reviews, by type of discrimination, had been initiated--yet more data had been collected each year.

Other examples include institutional applications for campus-based student aid, where approximately one dozen of 680 data elements collected are computerized for general use, the balance being stored. In the following sections these complaints are analyzed and recommendations are made for reducing the burdens associated with them.

Inconsistent Terminology. The problems of insufficient lead time are exacerbated when terminology and definition are changed from one year to another. Examples of changes of this sort in the past few years include racial and ethnic classifications, the definition of residence in migration studies, and the determination of attendance for the purpose of allocating funds in certain programs.

During the last 20 years NCES has developed a series of handbooks on terminology, definitions, and classifications of data items that provide, in effect, a common language of communication. These handbooks, however, have not been used faithfully by the Federal agencies or States. NCES is currently developing a common core of education data which could become the data base for purposes of reporting for compliance, evaluation and program management, as well as for statistical analyses. Until developments such as these are put into use, the problems of inconsistent terminology will continue to plague agencies and respondents alike. The problem is implicit in the recommendations in this report on HEGIS and protection of human subjects, among others, and is the central theme of one of the recommendations in Section V.

Costs of Data and Information. Reliable evidence on the costs of providing data and information has not yet been developed. Only in recent years, as data and information have come to be regarded as a resource to be managed, have education researchers and business officers been impelled to start looking at the mounting costs of responding to more requests for more information.

School systems say they are drowning in paperwork, that time spent filling out forms takes time and resources away from classroom activities. Testimony at a Commission hearing in Knoxville, Tennessee on January 9, 1976 by

John C. Carter, director of the Food Service Department of the Knoxville city schools, provided an example. He said "time was being taken away from other school duties and many teachers are asking whether they are to teach or handle welfare programs." In a system of over 30,000 students, he stated, approximately 20,000 person-hours are required to administer the school lunch program, using 200 reams of paper each year, not including daily food tickets.

A large western school system estimated conservatively that the time required to complete a recent civil rights survey was 1,960 hours. Another large southwestern community school estimated its costs for the same form to be $67,000, no part of which had been budgeted.

States speak of costs in terms of the balance between State and Federal information requirements as compared to their respective funding levels. A western State says the Federal Government imposes 40 percent of its data collection requirements yet provides only 10 percent of the funds. A mountain State shows that 39 percent of the data it collects is required by the Federal Government which provides only five percent of its funds. A midwestern farm State says that 30 to 50 percent of its reporting time is due to Federal requirements, yet it receives only four percent of its funds from Federal sources. Another midwestern State estimates it may cost $3.50 per data item per school to provide data not readily available.

Determining the cost of providing education data is a complex problem. Elementary and secondary education includes over 90,000 schools in 16, 000 districts, so the determination of cost of data is itself costly, according to CEIS. For example, depending upon the size of the school or district, the following questions must be answered to ascertain cost:

- Who is involved in collecting the data and for how long? Certified administrative staff, research personnel, students, individual school staff, district staff or State staff?
- How is the data collected and reported? By hand, or automated?
- How is the system designed?
- Is the developmental cost charged to the original activity or prorated over several years, and for how many years?
- Is the data to be reported exactly as it is collected?
- How many times will data be reported?
- In what format will it be reported?
- Will data affect decision-making, and if so, to what degree and how much money is made available as a result?
- Can it be understood without explanation?
- How will it be disseminated?

Measuring accurately information specific enough to provide good cost data has not yet been accomplished by CEIS, but in its opinion the question of "how much it will cost" is becoming so important that techniques must be developed soon to determine costs of data production and collection.

Colleges and universities expend from one to four percent of their operating budgets to meet the costs of implementing federally mandated social programs, according to a recent American Council on Education study.[3] The report states that these costs have increased from ten to 20 times in less than a decade.

A large midwestern public university indicates it responds to 275-300 governmental agencies and bureaus at a cost of several million dollars annually. Smaller independent colleges, which receive the major portion of their income from students, fear that additional costs of paperwork will require increases in tuition. A consortium of 20 independent colleges in a southern State suggests Federal paperwork cost them $668,727 last year, or $47.09 for every full-time equivalent student.

A small eastern independent college president testified at a Commission hearing that his institution could not consider applying for certain grants of less than $50,000 because of the high cost of the requisite paperwork. Another midwestern public university officer testified that institutions sometimes forego responding to requests for proposals to help solve national problems because of the excessive paperwork involved. He said his university could increase its participation in Federal programs by 50 percent if less paperwork were required.

Costs of education at any institutional level are supported typically by taxes, tuition charges and private philanthropy. As costs increase for whatever reason, including paperwork, support from these sources must increase also. These are rarely profit-making enterprises where increased costs can be met by increasing the price to the consumer. The burden of cost in supplying data is implicit in the rationale for most of the recommendations in this report.

Review of Recommendations

Time and resources permitted only the examination of selected paperwork burdens. In selecting those to be studied, the Commission considered the information developed through methods and from sources described in earlier pages with respect to the following criteria:

- o What was the impact of programs in terms of level of funding, numbers of persons and institutions affected?
- o How burdensome was collection of information in terms of availability, effort required, and whether repetitive or single-time?
- o Was the burden exacerbated by multiple laws and regulations?
- o Would a generic solution relieve similar burdens elsewhere?
- o Would solutions provide long term control as well as immediate relief?

Problems selected are discussed from the standpoint of grants and contracts, student financial aid, nondiscrimination, and management controls. Each subsequent section of this report considers several programs, in each

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of which the salient problems are stated and analyzed and recommendations are made.

Grants and Contracts. The grants and contracts category was selected because more than 2,500 colleges and universities, through the efforts of an undetermined number of thousands of researchers, administer approximately $4.5 billion in Federal projects that contribute significantly to the national interest. Faculty members and administrators in these colleges and universities are required to complete overlapping forms, meet multiple compliance requirements from many agencies, and keep records, at an enormous cost, that have little use or validity. The grants and contracts area is discussed in Section II.

This section deals with reporting faculty and other professional time and effort; eliminating mandatory cost sharing in research and development projects; raising the threshold for nonexpendable property reporting; streamlining the payment process; extending to contracts standard administrative requirements similar to those applying to grants; establishing single agency cognizance for the protection of human subjects; and generalizing the concept of single agency cognizance.

Student Financial Aid. The largest programs in HEW's Education Division, in terms both of dollars and of individual applicants, are those in student financial aid, where over $3 billion is awarded annually to almost two million students. These awards are supplemented, when additional need exists, by State, institutional, and private sources which combine to provide $1.5 billion annually for assistance to students not receiving Federal funds as well as for additional aid to those who do. Students may complete up to seven application forms and three financial information forms, all using similar data and frequently with separate fees. This hodgepodge of programs, forms, and fees, involving duplication of data and resulting burdens upon students and their families as well as upon institutions, became an almost automatic selection for Commission study.

Selected student financial aid programs are discussed in Section III, where recommendations are made to combine applications in the Federally Insured Loan Program; to shorten and simplify institutional applications for campus-based programs; and to produce a single financial aid application for Federal, State, institutional, and private sources.

Nondiscrimination. Initiatives in the last dozen years to eliminate discrimination and provide equal educational opportunity, especially in Federal programs, have been augmented and intensified in more recent years by additional laws and regulations which have forced educational institutions into meeting a variety of compliance requirements from many agencies. As employers and Federal contractors, in admissions and financial aid policies, educational institutions and agencies are committed to nondiscrimination. But this reporting and enforcement requirements of Federal agencies in administering these necessary programs are uncoordinated and overlapping, causing unnecessary expense and burden. For these reasons, nondiscrimination was selected as a topic for study and comprises Section IV of this report.

In that section, the Commission recommends a single cognizant agency for equal opportunity and civil rights recordkeeping, reporting, and compliance in the field of education.

Management Controls. States and territories and their 91,000 elementary and secondary schools face special reporting problems, in part because of the number of categorical programs, each requiring appropriate accountability for Federal funds and each requiring compliance with equal opportunity mandates. CEIS monitors effectively the individual data collection activities, but there remains the necessity for better management of the overall Federal collection to improve the value of the data submitted. On this basis, the management of data gathering was chosen as a topic for study and is treated as a part of the management controls discussed in Section V.

Management solutions to generic paperwork problems are proposed there which can provide for the central coordination of data collection, a common language of communication in that collection, and automated processing of data elements by purpose and subject to improve clearance procedures and reduce duplication. These management solutions can also improve the ability to make multiple uses of data.

The final analyses in Section V discuss the roles of Congress and of education respondent groups in controlling excessive and burdensome recordkeeping and reporting in the future.

FOOTNOTES

Section I

1. U.S. Department of Health, Education, and Welfare, Annual Report of the Commissioner of Education for Fiscal Year 1975 (Washington, D.C.: Government Printing Office, 1976) p. 199.

2. U.S. Congress, Senate, Committee on Governmental Affairs, Guaranteed Student Loans Hearings before the Permanent Subcommittee on Investigations, U.S. Senate, 94th Congress, 1st session, 1975, pp. 464-508.

3. Carol Van Alstyne, The Costs to Colleges and Universities of Implementing Federally Mandated Social Programs, Policy Analysis Service Special Report (Washington, D.C.: American Council on Education, 1976), p.4.

II. GRANTS AND CONTRACTS

Federal grants and contracts were identified early in the Commission's study as major sources of concern to higher education (see page 11). Federal grants and contracts awarded to colleges and universities amounted to more than $4.5 billion in fiscal year 1975, according to the National Science Foundation's Surveys of Science Resources. These awards were shared by 2,517 institutions.

Colleges and universities are labor-intensive, salaries and wages constituting their largest item of expenditure. A major source of difficulty for these institutions is the paperwork required to document the portion of salaries and wages that is applied to Federal grants and contracts. Another is the administration of property acquired in the course of these programs, and a third element is the manner in which payment for these projects is made by Federal agencies to the institutuions. These three topics are discussed first in this section.

The Commission noted progress made by OMB in establishing consistent policies and procedures among Federal agencies in the administration of grants and contracts. It noted also the leadership exercised by HEW in developing effective and responsive regulations for the protection of human subjects involved in Federally supported research and urged that HEW be assigned sole responsibility for regulations in this area as the "cognizant agency." Finally, the Commission investigated the cognizant agency concept as a potential solution in other areas, perhaps including those where critical problems may not yet have emerged. Discussion of these three steps concludes this section.

Documentation of Personal Services

The process of reporting and documenting the efforts devoted to Government-sponsored programs by faculty members and other professionals at colleges and universities has been an abrasive one for many years. The issue involved in effort reporting, simply stated, is this: How can the Government be assured that faculty and professional services offered by the universities under the terms of their grants and contracts have been delivered and are properly chargeable to programs financed by public funds?

The process involves some form of monthly data for each professional involved in Government-sponsored programs at every college and university. These data are prepared on forms designed by each institution and are made available to Federal auditors as needed.

The Way and Navy Departments jointly issued in 1947, an "Explanation of Principles for Determination of Costs Under Government Research and Development Contracts With

Educational Institutions." This document stated (paragraph 8) that:

> Where faculty members paid on a salary basis work part-time on a government research and/or development project, reasonable estimates of such time may be used in lieu of exact time records, it being recognized that such members of educational institutions cannot be expected to keep time records in the manner common to industrial oganizations.

Bureau of the Budget Circular A-21[1], first published in 1958, sets forth cost principles for educational institutions with respect to all Federal agencies. On this point, it specified (paragraph I.C.1.a.) that:

> Where professional staff paid on a salary basis work directly part-time on a research agreement, current and reasonable estimates of time spent may be used in the absence of actual time records.

These estimates were typically expressed as "percent of effort," since a flat number of hours would have no translatable value.

Faculty Resistance. In most institutions faculty members have consistently held effort reports to be incompatible with the creative processes of academic activity. The effort report system is, to them, fallacious and meaningless in that it rests on the assumption that it is possible to partition, for purposes of record, an individual's intellectual effort. A report, "The Effort Reporting Issue," prepared at Harvard University in March 1967, stated that the phrase "percent of effort" is itself illogical when one considers the question "percent of what?" "Within the academic world," the Harvard report continued, "the conception of an eight hour day and 40 hour week are as incongruous as a 40 hour day and an eight day week."

In addition, the academic environment particularly is affected by the "joint product" phenomenon, under which two separate benefits flow from the same effort. The most common example of this is a faculty member who simultaneously is conducting research while guiding the activities of graduate students engaged in that research as part of their thesis requirements. Teaching and research duties are highly interrelated, and their separation can be accomplished only by an arbitrary and subjective process.

The Council of the American Mathematical Society enacted a resolution at its meeting on August 29, 1967, urging responsible university officers to take action "to have Time and Effort Reports and similar documents pertaining to faculty members' time eliminated, because it considers that such documents are incompatible with academic life and work. The Council reiterates the traditional view that teaching and research are inseparable, and that accounting procedures in universities must take account of their unitary character." Such faculty resistance could not be ignored, since in the last analysis any documentation of effort devoted to a project must originate with the individual.

Cost Sharing. The effort reporting problem was exacerbated by the imposition of mandatory cost sharing, which requires that the performer of a research grant or contract participate in the cost of its performance. There had always been cost sharing on a voluntary basis by universities, ever since sponsored projects appeared there, primarily in the form of direct faculty effort applied to such projects for which no reimbursement was claimed. This practice arose from the concept that faculty workloads customarily left some unscheduled time to be used, at the individual's discretion, for purposes of professional advancement -- writing, study, research, or whatever. Such unscheduled time was devoted without charge to sponsored projects. Voluntary cost sharing of this type continues on a large scale today, even though the volume of sponsored projects has grown dramatically. The resultant demands upon faculty effort far exceed the unscheduled time, however, and individuals must therefore be released from other academic duties in order to accommodate the excess of sponsored projects.

In 1965, cost sharing on research grants became a statutory requirement, set forth in appropriation acts for several agencies. Bureau of the Budget Circular A-74, issued in December of that year to implement these statutory provisions, instructed the agencies to require institutions to maintain records demonstrating their participation in the costs of each project. This necessitated effort reports even from those faculty members who, since all of their salaries came from institutional funds, had not had to prepare them prior to the imposition of cost sharing.

At present, cost sharing requirements may arise either from statutory provisions or agency regulations. The statutory provisions have appeared each year in two appropriations bills, one for the Labor-HEW Departments and the other for the Independent Offices and the Department of Housing and Urban Development, which includes the National Science Foundation and the National Aeronautics and Space Administration. The agency regulations are largely based upon OMB Circular A-100, "Cost sharing on research supported by Federal agencies," which replaced the earlier Circular A-74. Circular A-100 states in paragraph 5.b. that when cost sharing is not required by statute, "agencies shall encourage organizations to contribute to the cost of performing research under Federal research agreements" under certain conditions. The Department of Defense appropriation bills for fiscal years 1966 through 1969 carried the same cost sharing requirement as the Labor-HEW bill. This was dropped in fiscal year 1970, and no statutory cost sharing has applied to DOD since that time. However, that Department has continued to require cost sharing on research grants.

Interagency Task Force. Faculty resentment against effort reports, aggravated by the cost sharing requirement, was reinforced in many instances by Federal agency personnel. Objections were sufficient to persuade the Budget Bureau in late 1967, to designate an interagency taks force to review the problem. Under the chairmanship of Cecil E. Goode of

BOB, the task force included members from the Defense Contract Audit Agency, the General Accounting Office, the National Institutes of Health, and the National Science Foundation. Its report, issued February 23, 1968, followed briefings by the Federal agencies, interviews on 21 campuses with faculty and with academic and business administrators, and subsequent discussion of findings with Federal officials and university representatives.

The task force conclusions contain the following (page 38 of the report):

> Time or effort reports now required of faculty members are meaningless and a waste of time. They have engendered an emotional reaction in the academic community that will endanger university-Federal relations if relief is not provided. They foster a cynical attitude toward the requirements of government and take valuable effort away from more important activities, not the least of which is the research involved. We need to go to a system that does not require documentary support of faculty time devoted to government-sponsored research. No real evidence of faculty effort is provided anyway under the present system, and there is no way other than the research results themselves to prove how much effort was in fact expended.

The task force report describes the negative attitudes toward effort reporting (page 21), expressed not only by the academic community as being impossible, meaningless, and a disincentive, but also by the Federal agencies as being unrealistic, unnecessary red tape, and needlessly complicating relations.

The task force recommendations included the following (pages 39-43), which were largely adopted in a revision of

Circular A-21 in June 1968:

1. Adoption of an optional device known as stipulated salary support, for use by faculty members and any others engaged in part-time research and part-time instruction. Under this procedure, agreement is reached between the sponsoring agency and the institution, during the proposal and award process, as to the monetary value of the contribution that the individual is expected to make to the particular project. This amount, once agreed upon, requires no subsequent documentation and remains fixed unless there is a major change in the individual's performance.

2. For those not using the stipulated salary support method, replacement of the effort reporting system by one based upon institutional payrolls. These payrolls must be supported by either (1) an adequate appointment and workload distribution system accompanied by periodic reviews by responsible officials or (2) a monthly certification system under which deans, department heads, or supervisors would report any significant and long-term changes in the workload distribution of any professional. (As adopted in A-21, the periodic reviews specified in (1) above were prescribed as monthly, and the certifications specified in (2) were to be made by one with first-hand knowledge of the services performed on each research agreement.)

Subsequent Developments. The stipulated salary procedure has found virtually no acceptance in the academic community. No explanation can be found for this. The only tenable theory is the inflexibility of the procedure. Circular A-21 states (section J.7.e.): "The stipulated salary for the academic year will be prorated equally over the duration of the grant or contract period during the academic year, unless other arrangements have been made in the grant or contract instrument." This means that minor variations cannot be reflected in the charges.

Accordingly, the alternative payroll-based system has been used, which involves monthly after-the-fact reviews or certifications that have all of the defects of the original effort reporting system. Although the payroll-based system does not require effort reports as such, the resulting procedures were tantamount to effort reports, and for this reason a number of institutions have continued the effort reporting system. A proposal was made in January 1977, by the Department of Health, Education, and Welfare to the Office of Management and Budget that the effort report system be revived.

The Commission analyzed a 1976 survey made by NACUBO of universities heavily involved in sponsored programs. Of 53 responses, 37 stipulated the documentation of personal service charges, including cost sharing, as among the most burdensome of recordkeeping requirements because of the considerable internal paperwork generated by this process. The extreme decentralization within the institution of the effort reporting procedure makes it difficult to obtain estimates of costs in dollars or in hours. The University of Iowa estimates an annual requirement of 2,400 man hours. Another estimate, 1,800 hours including 500 on the part of faculty members, was made by a State university in the Rocky Mountain area.

The Commission finds that:

o The stipulated salary support method has not been found to be in use at any institution with a sizable involvement in sponsored programs.

- The institutional payroll system, with monthly after-the-fact reviews or certifications, is producing results that are laborious to the institutions and unsatisfactory to the agencies.

- The requirement for demonstrating cost sharing, to the extent that cost sharing is in the form of contributed professional salaries -- which is the most common form -- is an added difficulty. Cost sharing by definition is not a payroll allocation, so that the required documentation must be outside the payroll system.

- The Commission on Government Procurement, in its Recommendation B-8, proposed the elimination of cost sharing on research and development projects except in cases where the performer would clearly benefit, for example, through economic benefits from commercial sales. The arguments in favor of this recommendation (B-8) appear on pages 26-28 of Volume II of that Commission's final report. A special task group, charged with proposing an executive branch position on the recommendation, submitted a report in January 1976, affirming the recommendation for the elimination of cost sharing.

Recommendation No. 1

With respect to services for which charges are made against the grants or contracts involved, the Director of the Office of Management and Budget should:

- *Inquire into the reasons for the failure of colleges and universities to use the stipulated salary support option set forth in OMB Circular A-21;*

- *Determine whether it is feasible to revise the terms of the option to accommodate these reasons; and*

- *Confer with the Cost Accounting Standards Board to assure consistency with the Board's requirements.*

Recommendation No. 2

> *With respect to services for which no charge is made but which nevertheless must be documented in order to demonstrate cost sharing, the Commission endorses the position of the Commission on Government Procurement, in its Recommendation B-8, concerning the elimination of mandatory cost sharing on research and development projects, except in cases where the performer would clearly benefit.*

These recommendations were adopted by the Commission December 3, 1976. In response, the Director of OMB replied to the Commission February 2, 1977, agreeing that the stipulated salary support option would result in a considerable paperwork reduction and stating that his Office would inquire into the matter. "If, as a result of that inquiry," wrote the Director, "it appears feasible to revise the terms of the option to assure its more frequent use, we would be glad to consider such a revision." The Director further pointed out that cooperation and coordination with the Cost Accounting Standards Board had been regularly maintained and would continue with respect to any changes in Circular A-21.

The Acting Administrator of the Office of Federal Procurement Policy replied to the Commission on March 3, 1977. He stated that a "policy document which would implement a number of the Commission on Government Procurement recommendations, including B-8 on cost sharing, is under consideration."

Accounting for Nonexpendable Property Purchased by Grantees

Administration of Federal grants usually entails the use of equipment or other nonexpendable personal property. For property on hand, grantees are normally reimbursed through depreciation allowances or use charges generally treated as indirect costs. However, it is sometimes necessary for a grantee to acquire equipment for a specific purpose as part of the direct cost, particularly in the case of scientific research. In this event, with the prior approval of the grant-making agency, the full acquisition cost can be treated as an allowable direct cost.

Once the property is acquired, the grantee must account to the Federal Government for its use and, when the property can no longer be used in connection with Federal awards, must reimburse the Government for its share of the fair market value or proceeds from sale. During the period of time in which there is a Federal interest in the property, the grantee has to maintain prescribed property management standards including property records.

These regulations impose a substantial reporting and recordkeeping burden on colleges and universities. In a 1976 survey by NACUBO of 53 institutions heavily involved in Federally-sponsored research, 30 rated the mangement and control of property as among the most burdensome Federal recordkeeping requirements. Although the Commission focused on higher education, our recommendations, below, are pertinent to apply to other grantees as well.

Grantees contend that the rules to carry out accountability provisions are complex and budensome. For example, a grantee or subgrantee is required to:

- Maintain property records including a descriprion of the property, manufacturer's number, acquisition date and cost, percentage of Federal participation, location, use and condition, etc;
- Conduct a physical inventory at least biennially, investigate differences between the inventory and accounting records, and verify current utilization and continued need for the property;
- Maintain a control system to prevent loss, damage or theft;
- Implement adequate maintenance procedures;
- Use property in accordance with Federal regulations and priorities;
- Establish proper sales procedures to assure competition when property must be sold.

These rules are cited from Attachment N of OMB Circular A-110, which is discussed later in this section. In its Attachment N, which sets forth property management standares, the Circular establishes a standard definition of nonexpendable property (equipment costing $300 or more with a useful life of more than one year) in place of the welter of definitions previously used by different agencies. Equally significant, the Circular raises to $1,000 the threshold of nonexpendable property which grantees are permitted to use for other activities without reimbursement to the Federal Government, after that property is no longer needed for Federal grant programs.

Although the rules in A-110 are a distinct improvement over previous regulations, they are still burdensome and costly for grantees. Furthermore, some Federal administrators are of the opinion that Attachment N of the Circular is in some respects overly simplistic, and that even more elaborate rules will have to be worked out to implement certain provisions. For instance, the regulations in A-110 extend to the entire universe of non-governmental recipients, subgrantees, and cost-contractors as well as to the original grantee. But the Circular does not explain how the accountability provisions are to be applied to subgrantees. If the property is sold, for example, how is the Federal share to be computed when title vests conditionally with the subgrantee? According to knowledgeable Government officials, an even more complex body of rules will be required to deal with this problem and others.

Burdens on Grantees. Compliance with the property mangement requirements frequently imposes substantial administrative costs on grantees. For instance, the University of Rochester estimates that it requires a minimum of two man-years annually merely to maintain equipment listings and report thereon. Another estimate of three man-years annually was supplied by the University of Washington.

A study by the University of California, San Diego, reveals the futility of much of the paperwork resulting from Federal regulations. The study found that a substantial percentage of property at the University was either Government property or property acquired with Federal grants and contracts and subject to Federal regulations. According to the study:

> The resulting administrative burden is significant. Title to almost all this equipment (University officials estimate 99 percent) will eventually be vested in the University or the property will be used exclusively by the University during the life of the property. During these years, the cost and other burdens on the University are substantial. These are reflected in unnecessary records, unproductive and expensive reports and restrictions which prohibit full utilization of the property.[2]

Particularly onerous was the requirement for the physical inventory.

There is also some evidence that Federal regulations actually interfere with what is normally considered good property management. For example, Circular A-110 does not address the question of "trade-ins," and the issue is subject to different interpretations by the various agencies. Some Government officials and grantees believe that colleges and universities are inhibited by the regulations from trading in equipment for newer or more recent models while the original equipment still has commercial value -- something they would normally do under good property management standards. They are reluctant to do it because of the paperwork involved and the requirement to reimburse the Government for its share. The university would have to return to the

Government a percentage based on the Government's original contribution while itself absorbing the price differential.

Level of Accountability. There is convincing evidence that the present threshold for accountability, that is, the minimum value of property subject to Federal recordkeeping requirements, is unrealistic. NACUBO, commenting on the recordkeeping responsibilities set forth in Attachment N of OMB Circular A-110, asked for certain data from constituent institutions that are heavily involved in Federally sponsored projects. The brackets suggested were $300 to $1,000, $1,000 to $5,000, and more than $5,000 of unit cost. The $300 minimum was chosen because that is the minimum unit cost of property that Circular A-110 defines as nonexpendable and thus subject to recordkeeping requirements.

Twenty-four institutions were able to report such studies. They indicated that, if such recordkeeping responsibilities were limited to property with a unit cost of $5,000 or more, the number of items would drop by more than 90 percent while more than 55 percent of the total dollar value would remain on the list. If the accountability level were increased only to $1,000, the number of items on which recordkeeping was required would drop by 63 percent, while more than 82 percent of the dollar value would be retained.

The Question of Accountability. Raising the level of accountability from $300 to $1,000 would be an improvement over existing requirements and would substantially reduce the recordkeeping burden on colleges and university. Logic and evidence, though, compel the Commission to raise a more fundamental question: do the regulations serve a useful national purpose? Regardless of the level of accountability, the paperwork burden resulting from the regulations can be justified only if the accountability serves a useful purpose.

The major argument advanced by Government officials[3] in support of accountability, briefly stated, is:

> Since property may have a useful life beyond the immediate objectives of the grant, the Federal Government has a responsibility to see that it is used for appropriate public purposes and to recover the value of any remaining useful life when the property can no longer be used for authorized purposes.

This argument treats the unused life of the property, its remaining value, as the residue of grant funds or, in other words, unspent money from the grant. However, it can be shown that the accountability provisions for grants are not an absolute necessity and that they do not always serve a useful national purpose.

Waiver of accountability can be justified as consistent with proper accounting practices for Federal funds. To treat property as the residue of a grant is a fully acceptable accounting approach, but it is only one approach. It is equally correct to take another approach that treats property as the residual benefit, not residual funds, from the grant. Under one recognized accounting approach, the full acquisition cost of the property is part of the cost of the grant and allocable to the grant period in which acquired. (In other words, the cost of the property is charged in full to the grant, and is therefore justified and accounted for during the life of the grant itself.[4] Federal responsibility ends when it is determined that the cost of the property is necessary and reasonable to achieve the purposes for which the grant is being made.)

Therefore, there is no residue of the grant, but rather a residual benefit to the grantee from the grant, analogous to other long-term benefits resulting from a grant. For example, curriculum development projects supported with Federal grants often confer additional benefits on the grantee, but no one claims that the Government is owed any money for these increased benefits. Similarly, most agencies waive their right to royalties resulting from copyrights that have been developed under Federal grants.

To extend to the grantee the long-term benefits of property is consistent with Federal policy for grants. This is intended to provide (financial) assistance for programs or projects in the national interest, many of which continue after Federal funding ends. One must also add that Circular A-110 now extends to grantees the right to use property acquired under one grant on other Federally-assisted projects and even on projects no longer supported with Federal funds. Since the Government has already extended the rules so far, giving grantees some benefits, there appears to be little, if any, justification for the existing restrictions.

Furthermore, Congress has already recognized situations when the accountability provisions are not in the public interest, and it has waived accountability for a large category of programs in several important classes. The Grants Act, P.L. 85-934, gives agencies discretionary authority to vest title to equipment purchased with grant or contract funds without further obligation to the Federal Government, for the conduct of basic or applied scientific research at nonprofit institutions of higher education or at nonprofit organizations whose primary purpose is the conduct of scientific research. The General Education Provisions Act, P.L. 91-230, permits the Commissioner of Education discretionary authority to vest title to equipment purchased with grant or contract funds at local educational agencies and State educational agencies, without further obligation to the Federal government.

The rationale for waiving accountability in the Grants Act was twofold: to increase U.S. scientific research capability by developing the resources of institutions and organizations, and to reduce Federal costs for accounting, shipping and disposition of equipment, on the grounds that such costs would far exceed the use value to the Government of much of that property. Similar arguments were advanced for the waiver of accountability in the General Education Provisions Act.

In those cases where accountability has not been waived, the Commission has not been able to find hard evidence that the property provisions are being enforced. For example, no one on the staff of the Finance Offices of the Office of Education and the Office of Human Development (HEW) can cite for any recent time period how much money, if any, had been returned to the Federal Government representing the Federal share of equipment acquired under its grants, or even the total dollar value of equipment purchased under its grants. The lack of response to these questions indicates that there is a large body of rules that are extremely difficult to enforce.

Furthermore, some Federal officials believe that any attempt to enforce the regulations, given their other responsibilities and the complexity of the rules, would be extremely difficult, perhaps impossible. For instance, the HEW Audit agency acknowledged that it was very difficult to determine whether a grantee was in compliance with the property regulations, that is, whether the property was being used for authorized purposes, particularly at larger institutions with multiple research projects.

Agency Burdens. The Commission has attempted to discover how the Government monitors compliance with property regulations. No cost data are available, but discussions with agency staffs indicate that implementation of property regulations is costly and burdensome and produces little, if any, appreciable return to the Government.

For instance, to effect disposition of property when the grantee can no longer use it for authorized purposes, the agency must first describe the item and put it on an excess property list which is then sent to every Government agency for screening. An OE official estimates the cost of the entire screening process to be $55 per line item. If no agency can use the property, the General Services Administration declares it surplus and makes it available for donation. Some officials question whether the returns to the Government, often negligible since the property has depreciated in value, justify the cost of these procedures.

The same point was the principal reason for an unsuccessful HEW attempt to extend the Grants Act in 1969, an effort supported by six other agencies. In the draft of a cover letter to Congress, the Secretary said, in part,:

> The additional administrative workload and cost of such procedures (governing property) contribute nothing to furthering the research and training program purposes of the Department and result in no appreciable economy. Equipment which grantees or contractors purchase with Federal funds is equipment they need to carry out their Department-supported research and training program operations, which are usually only a part of their continuing research and training functions. Since the continuing functions are almost always in the same general program area as the Department-supported activity, such equipment should normally continue to be available for use in program areas of interest to the Department without imposing an obligation on the institution to establish and maintain records and to undertake other procedures that serve little useful purpose.

Recommendation No. 3

> *The Director of the Office of Management and Budget should consider changing from $300 to $1,000 the minimum value of property acquired under grants that is subject to accountability provisions.*

Recommendation No. 4

> *The Director of the Office of Management and Budget should undertake further study to determine if the burden on grantees and agencies associated with accounting for nonexpendable property is indeed excessive, whether the returns to the Government are commensurate with the costs of enforcing the regulations, and whether other, more efficient means can be devised to protect the Federal interest.*

These recommendations were adopted by the Commission on February 25, 1977. In response, the Director of OMB replied to the Commission on March 28, 1977, that the study specified in Recommendation No. 4 would be undertaken as part of OMB's continuing program to update its Circulars. This study, wrote the Director, will consider whether the $300 criteria should be changed.

DHEW Federal Assistance Financing System

In recent years, the Federal Government has attempted to simplify and standardize payment procedures for Federal grants and contracts. One such effort, the HEW Departmental Federal Assistance Financing System (DFAFS), represents a significant advance in fiscal reporting and management which substantially reduces the paperwork burden on recipients of Federal awards. The advantages of the system have not been seriously explored by other agencies or departments. If extended in some form to other Federal agencies, substantial financial and paperwork savings could be realized by both the Government and recipients.

DFAFS is a computerized system that provides to a recipient organization a consolidated payment on all its HEW programs, rather than individual payments for each grant or contract. As of October 1975, DFAFS was handling approximately 80 percent of HEW grants and "assistance-like contracts," or approximately 53,000 awards with funding in excess of $8.5 billion.

The system is designed to facilitate the payment process by standardizing expenditure reports and providing a single central location in HEW for award payments -- a significant advance for a department as highly decentralized as HEW. In effect, DFAFS functions as a fiscal intermediary between the agencies and recipient organizations; that is, it provides cash as needed to recipients and collects summary expenditure data from them. This is fed into the accounting offices of the various agencies for the fiscal management of programs and for updating records.

As an advance funding system, DFAFS utilizes two basic payment mechanisms -- the letter of credit and the monthly cash request. Criteria for determining the method of payment are governed by Treasury regulations, specifically Treasury Circular 1075. To qualify for a letter of credit under these regulations, a recipient must have continuing business transactions with HEW aggregating at least $250,000 annually. Of the approximately 14,000 recipients in DFAFS, 68 -- primarily larger universities, but also including seven States and one territory -- receive letters of credit.

For instance, New York State has one letter of credit for all State agencies (health, welfare, etc.) and the University of the State of New York has a separate one for its 64 campuses. The letter of credit operates through the U.S. Treasury, a Federal Reserve Bank, and the recipient's bank. An authorization is established in an amount based on the recipients's average monthly expenditures for all HEW programs, and recipients can draw on this amount as needed simply by presenting a payment voucher at their local bank.

The monthly cash request -- a procedure used by the majority of DFAFS recipients, approximately 13,900, whose business relationships with HEW do not exceed $250,000 per year -- provides cash in advance to cover anticipated expenditures for the succeeding month. To obtain payment, one form is submitted for all HEW programs indicating, in summary form, available cash on hand and anticipated expenditures for the coming month. Normally, it takes the Treasury seven to ten days to honor the request. Thus, if the form reaches DFAFS by the 25th of the month, a Treasury check should be in the hands of the grantee or contractor early the following month.

Each quarter, DFAFS furnishes recipients a report showing the authorized amount for each award and a listing of both active and expired awards held by the recipient. The recipient compares this report with its records and corrects and completes the form showing cumulative expenditures to date for each award. The Commission finds that:

- DFAFS provides recipients a single point of contact within HEW for cash matters. Even in a small agency, grantees frequently deal with several different offices (program, grants, finance) on matters relating to award payments. Obviously, the situation becomes more complex when an institution has multiple grants and contracts from different offices within an agency as large and widespread as HEW. Merely identifying the appropriate official who can handle the problem frequently results in delays and unnecessary paperwork for the grantee.

- DFAFS significantly cuts paperwork by reducing the bookkeeping and reporting on grants and contracts. One can best illustrate this by comparing the billing and reporting requirements for DFAFS with those for other Federal agencies.

  One major university currently has 175 awards under DFAFS and 22 from all other agencies. The latter represents only 8 percent of the institution's total Federal funding. Four full-time staff are required for billing on the 22 awards; no full-time person is needed for the DFAFS account.

  Each month staff must submit a separate cash request for each of the 22 awards not granted by HEW and an additional form summarizing all cash transactions with each agency. The forms themselves are relatively simple; however, the bookkeeping required to collect the data is extremely burdensome and time-consuming because 22 different accounts are involved. For instance, staff must complete a monthly cash reconciliation for each account, manipulate that data to fit the different reporting requirements of each agency, then estimate the next month's expenditures for each award, and reconcile these figures with the previous month's. Since DFAFS, on the other hand, requires only total anticipated expenditures for all programs, far less bookkeeping is required.

Additional paperwork is created when the Treasury checks are received at the institution. Since neither the funding source nor the award number is always clearly indicated on the checks, considerable time is spent matching the check to the appropriate award. Here again, the contrast with DFAFS is striking. A single check is received for all DFAFS awards and assigned to a single cash account.

- DFAFS enables recipients to gauge their needs and manage funds better by making available one lump sum each month. Officials at Georgetown University and Johns Hopkins report that, since the system was introduced, their accounts for Federal funds are balanced for the first time. Knowing the total Federal funds unexpended and the exact amount due them at any one time, recipients can plan and manage their funds more efficiently.

- Consolidation of payments under DFAFS helps minimize cash flow from the Treasury and thus reduces the amount of interest the Treasury must pay on borrowed funds. A conservative estimate from the Treasury is that in fiscal year 1975 DFAFS provided interest savings of approximately $20 million.

  These savings result from DFAFS' more efficient use of Federal funds. Treasury regulations require grantees to time their payment requests or draw-downs as closely as possible to actual expenditure needs. However, where payments are not consolidated, grantees frequently do not draw on a needs basis, but rather reserve a small residue of Federal funds from each award to cover any unforeseen expenses, because they cannot use money from one account to cover expenditures on another. In contrast, DFAFS creates a single cash pool

> for recipients which permits them to use those funds as needed for any DFAFS award. Recipients are thus able to monitor and control cash flow better while keeping the balance of Federal funds at the institution to a minimum.

Although DFAFS offers distinct advantages to both recipients and the Federal Government, one problem with the system must be acknowledged. That is the inaccuracy of data often supplied to DFAFS by the HEW agencies, which creates difficulties for the institutions in reconciling their DFAFS accounts. The DFAFS staff is fully aware of the problem and has initiated efforts to correct this deficiency.

For instance, DFAFS and agency staff have been working to standardize financial data elements on award letters, the initial and crucial source of information for both DFAFS and recipients. Literally hundreds of different award forms are currently being used by HEW. These often have confusing entries such as two different locations in HEW for payment. Standardization of the data elements is expected to alleviate many of the problems involved in reconciling DFAFS accounts with the recipients' own records, thus promoting a closer relationship between DFAFS and its 14,000 recipients.

Despite this problem, universities approached by the Commission are still enthusiastic about DFAFS. Their chief complaint is that more Federal programs are not covered by the system. The Commission also found an enthusiastic endorsement of DFAFS among officials at Treasury and OMB, although there is no consensus on precisely how the model might be expanded or adapted to other Federal programs. Some officials believe that other agencies and departments, particularly larger ones with different components and offices dealing with the same kinds of recipients, might establish comparable systems--paralleling DFAS--with the same standardization of concepts, reporting levels, and procedures. Another option is to expand DFAPS eventually into a single centralized payment system for the entire Federal Government.

Whatever the merits of these proposals, the Commission's research confirms that the system has a potential that should be explored more fully to the advantage of both recipients and other agencies of the Federal Government.

Recommendation No. 5

The Commission on Federal Paperwork endorses the concept of DFAPS as an effective way of streamlining the payment process and reducing paperwork in one important area of grants and contracts administration.

Recommendation No. 6

The Office of Management and Budget and the Department of Treasury should systematically evaluate DFAPS and explore ways of expanding the system to other Federal programs.

These recommendations were adopted by the Commission on December 3, 1976. In response, the Director of OMB replied on February 2, 1977 that "We endorse the concept of a consolidated payment system such as the one used by HEW. It is our understanding that Treasury is systematically evaluating the HEW system, and exploring ways of expanding the system to other Federal programs."

OMB Circular A-110

On July 1, 1976, OMB issued Circular A-110 establishing "uniform administrative requirements for grants and other agreements with institutions of higher education, hospitals, and other nonprofit organizations." This Circular, whose initial implementation process will have been completed early in 1977, will reduce substantially the paperwork burden on the nonprofit sector to which it applies.

Although Circular A-110 applies to virtually all grants awarded to the nonprofit sector, it covers only a small fraction of the contracts performed by these organizations. The substantial contribution that the Circular makes to the reduction of recordkeeping, reporting, and other burdens could be enhanced considerably if the standards set forth in the Circular could be made applicable, where appropriate, to the majority of Federal contracts for research, training, demonstration, and public service that are performed by nonprofit institutions and organizations. In the absence of expanded coverage, there will be only partial realization of the potential benefits of Circular A-110.

History. The Circular is the outcome of an effort originated in September, 1970, by an interagency task force established by OMB. Between that date and February, 1975, when it was published in the Federal Register in proposed form, drafts were subject to circulation, review, discussion, and comment by interested parties in and outside the Government. Further comments on the published material were numerous, and the Circular was issued in its present form July 1, 1976.

The original intention of the task force had been to embrace both grants and contracts, excluding only such specialized concerns as systems development or hardware production, services to Federal employees or their beneficiaries, operation of federally-funded research and development centers, the Reserve Officers Training Corps, the Medicare program, and any awards providing for a fee or profit or based primarily on cost competition. To obtain agreement from the agencies, however, and to provide consistency in the grants area, OMB limited the Circular's initial coverage to awards that are not required to conform to procurement regulations.

Circular A-110 includes 15 Attachments, each establishing standards in a given area. These are:

A. Cash Depositories
B. Bonding and Insurance
C. Retention and Custodial Requirements for Records
D. Program Income
E. Cost Sharing and Matching
F. Standards for Financial Management Systems
G. Financial Reporting Requirements
H. Monitoring and Reporting Program Performance
I. Payment Requirements
J. Revision of Financial Plans
K. Closeout Procedures
L. Suspension and Termination Procedures
M. Standard Form for Applying for Federal Assistance
N. Property Management Standards
O. Procurement Standards [5]

Certain aspects of Attachments I and N were discussed earlier in this section.

Limitation. The Circular applies to "grants to, and other agreements with" the nonprofit sector. It excludes from the term "other agreements," however, "contracts which are required to be entered into and administered under procurement laws and regulations." Most agencies are permitted by statute to issue either a grant or a contract for the bulk of the programs conducted for them by the non-profit sector. Their contracts, when they decide to use that instrument, are subject to the applicable procurement regulations, with very few exceptions. Thus, the great majority of contracts performed in the nonprofit sector remain unaffected by Circular A-110.

Both grants and contracts have been successfully used for research, training, and other types of programs performed by colleges, universities, and other nonprofit organizations. The failure of Circular A-110 to cover contracts means that a large body of agreements will continue to be subject to a multitude of differing policies, procedures, and administrative requirements that are inconsistent, confusing and burdensome.

Financial Reporting. The Commission examined in detail Attachment G, Financial Reporting Requirements, as an example of the items covered by Circular A-110. This topic was chosen because fiscal reporting directly involves paperwork and because both university and Government representatives have recognized it as a problem. Although the problem affects both grants and contracts, the uniform standards prescribed by Attachment G are expected to resolve most of the difficulties under grants. The problems under contracts fall into four categories:

1. The fact that forms differ from one another requires respondents to master separate sets of instructions and apply them as reports fall due. It also inhibits the use of data processing techniques in providing financial information.

2. Duplication of data arises largely from the dual purpose of financial reporting. Reports are used in conjunction with the payment procedure as a means of fiscal control. They are also used as a management tool in monitoring contract performance. Such monitoring can indicate potential overruns, underexpenditures, delays, or other significant variations from prior estimates. Manpower data are frequently included as part of financial reports, although this information is not of a fiscal nature.

   Despite the differences in purpose, the report forms used for financial control and for performance monitoring share, to a striking extent, many of the same details.

3. The troublesome requirements for detailed itemization arise less frequently from the offices responsible for payment and financial management than from program managers charged with monitoring contract performance.

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These details often involve individual analysis since they go beyond what the contractor's accounting system normally records, although the full detail is always available for audit purposes. It is difficult for contractors to understand the need or the use for the amount of itemization demanded.

In many cases, program managers also require a complete breakdown of the hours or man months devoted to the contract by each employee. Details of time spent by hourly-paid employees are usually available in the accounting system. The man-month data for salaried employees, however, are not normally recorded in the financial ledgers but are more often available in the division or department where the contract is performed and where the periodic technical progress reports are prepared. (Attachment H of Circular A-110 sets forth procedures for these reports.)

Manpower data might therefore more properly be included as a part of these progress reports, which are the major source of information used for monitoring the contractor's performance. This would avoid the necessity of shuttling partially completed report forms back and forth between two divisions of the institution that may be some distance apart.

4. The frequency with which financial reports must be submitted varies widely. Some programs specify only a final report while others may require them as often as monthly. Excessive frequency is particularly burdensome when considerable detail is demanded, less so when only basic figures are required.

In a 1976 survey conducted by NACUBO, nearly 75 percent of the respondents (39 out of 53) considered financial reporting problems to be among the most burdensome in the grant and contract field. A large western institution estimated that 9,200 staff hours were spent on the preparation of 909 fiscal reports during fiscal year 1976. A smaller southern university provided a figure of 4,836 hours, and a midwestern institution, whose program is relatively small, reported 5,474 hours. Another western university estimated a saving of at least 1,500 hours if the forms were designed to permit use of a computer in their preparation. A large private eastern university stated that "at least 20 man years is expended each year at ______ in preparing fiscal reports." This institution agreed that computer use would result in large economies but stated that the actual saving would depend upon the degree of difficulty and detail involved in any standard form.

The differences in individual forms aggravate the problem. One large northeastern university stated "that the types of expenditures incurred under agency awards really do not vary much at all, yet we must adapt the data from our accounting records to these various formats."

Fiscal reporting burdens have also been recognized by Government personnel. The Department of Health, Education, and Welfare, for example, established in the early autumn of 1976, a task force to study the problem and devise standard forms and instructions for fiscal reports on contracts. The task force proposals are designed to eliminate unnecessary forms and to permit the use of the same forms for both fiscal management and program monitoring. The latter proposal arises from the task force's finding that the data required for these two purposes was largely repetitive, consisting primarily of a summary of expenditures, current and cumulative, made by the contractor.

Financial reporting requirements are in many cases excessive in detail and in frequency. A considerable paperwork saving could be realized if:

- the same form were used for program monitoring and for fiscal control, since essentially the same data is used for both purposes;
- the amount of detail and the frequency of reports were limited to what is needed and used;
- fiscal reporting forms were standardized so that requirements were compatible and susceptible to computer technology; and
- manpower data were excluded from financial reports and incorporated, where needed, as part of the technical program progress reports described in Attachment H to Circular A-110.

In considering the application of Circular A-110 to contracts, one fact must be observed. Contracts are generally subject either to the Federal Procurement Regulations or the Armed Services Procurement Regulation. Several of the Attachments to Circular A-110 deal with topics not treated in these procurement regulations. Where the same topics are addressed by both, there may be some conflicts which would require modifications in Circular A-110 so that compliance with the procurement regulations can be assured. Basically, however, the Circular can be applied readily, in large measure, to the majority of contracts for research, training, demonstration, and public service that are generally performed in colleges, universities, hospitals, and other non-profit institutions. Such application would not in any way blur the distinction between contracts and grants. The identity of each of these instruments can and should be preserved.

Recommendation No. 7

The Commission on Federal Paperwork endorses the action of OMB in establishing, by means of Circular No. A-110, a set of standard administrative requirements that will substantially reduce the burdens on the nonprofit organizations to which the Circular applies.

Recommendation No. 8

The Director of the Office of Management and Budget is urged to extend application of Circular A-110, as earlier contemplated, to contracts performed by the nonprofit sector, wherever such action is appropriate. Revisions to the Circular, or alternative standards, should be provided where necessary to conform to the major procurement regulations.

Protection of Human Subjects

The use of human subjects in biomedical and behavioral research has been the focus of considerable concern in recent years. The great bulk of this research is performed under the aegis of HEW, and that Department has developed a set of comprehensive regulations designed to provide protection of human subjects. Other agencies that sponsor such research have also proposed regulations, constraints, and injunctions on those who perform the research. Some of these are inconsistent with and simetimes in direct conflict with the HEW regulations. As a result, organizations performing research involving human subjects face reporting and recordkeeping requirements that are confusing, duplicative, incompatible, and thus unnecessarily burdensome.

Testimony at a Commission hearing in Nashville, Tennessee, on January 8, 1976, by Lewis Lavine, Assistant to the Vice Chancellor of Medical Affairs at Vanderbilt University, described the magnitude of the problem. A clinical investigations committee there which oversees such research has 20 highly trained members, meets for two hours twice a month, and requires 6,000 pieces of paper to complete its assigned agenda.

HEW. The Public Health Service (PHS), a component of HEW, has for some time been concerned with the protection of human subjects in clinical investigation and other projects carried on under its grants and contracts. The first formal Government regulation covering extramural programs was issued in 1966. It was preceded by a long history of study, debate, and consideration, which is documented in a monograph by Dr. Mark S. Frankel.[6] The formal regulation, Policy and Procedure Order 129, was issued by the PHS on February 8, 1966, and copies were sent to all grantees and contractors by the National Institutes of Health, (NIH) and other PHS units.

This Order required grantees to review all applications for clincial research and investigation, to take steps for consent by and protection of human subjects, and to provide assurance in the grant application of compliance with PHS policy. It was modified on July 1, 1966, when the requirement for separate assurances for each grant application was replaced by one for an institution-wide general assurance that would cover all subsequent applications from that institution.

In 1971, HEW adopted a similar policy as a Department-wide statement, incorporated as Chapter 1-40 of the HEW Grants Administration Manual. The policy, no longer limited to the health field, applied to all HEW-sponsored programs. It also firmly established NIH as the cognizant agency within HEW to which the assurances and reports required by the policy were to be directed. Both of these policies have remained in effect.

The HEW rules were subsequently strengthened and codified as Part 46 of Title 45 of the Code of Federal Regulations

(45 CFR 46). Notice of proposed rulemaking appeared in the Federal Register October 9, 1973. Final rules were published May 30, 1974, (reprinted with some technical amendments March 13, 1975,) comments in the interim having been received from more than 200 sources.

ERDA. Proposed rules for the protection of human subjects were published by the Energy Research and Development Administration (ERDA) in the Federal Register on August 17, 1976. The preamble to the proposed rules stated that they were "substantially the same as those adopted by the Department of Health, Education, and Welfare." There were sufficient differences, however, to stimulate considerable comment, and the agency, in announcing its final rules (10 CFR 745) in the Federal Register for November 30, 1976, included the following statement:

> Although ERDA intended to substantially duplicate the policies and procedures adopted by HEW (40 FR 11854, March 13, 1975,) comments received in response to the proposed regulations identified differences that needed to be resolved between the two sets of regulations.

Some of these differences are described below;

- Institutional Review Boards. The proposed ERDA regulations stated that no Board shall consist of a majority of persons who are officers, employees, or agents of, or are otherwise associated with the institution, apart from their membership on the Board (emphasis added). This language differed from HEW's, which stated that such officers, employees, or agents may not constitute an entire Board. ERDA's final rule (745.6(b)(4)) was identical to that of HEW, acceding to comments. These comments pointed out, among other compelling arguments, the difficulty of finding persons outside the institution, particularly those not located in metropolitan areas, with sufficient experience and expertise to fulfill the qualifications established for Board members.

- Action on Proposals. The original ERDA proposal required that each application involving human subjects at risk must be reviewed and approved prior to its submission to ERDA. While the Administrator of ERDA was authorized to provide otherwise, no indication was given of any plan to establish, as HEW did, a grace period as agency practice.

  The final ERDA rule specified (745.11(a)) the acceptability of a written assurance that a review is planned or in progress and that its results will be forwarded within 60 days. This change was in response to comments pointing out the many cases of short lead time arising, as one commentator stated, because of agency delay in announcing the deadline, because of the limited period often permitted for response to Requests for Proposal, because of overload or unfortunate timing of the investigator's responsibilities, because of the development of new data, and similar valid conditions.

- Records. HEW regulations provide that copies of all documents used in Institutional Review Board reviews are to be retained by the institution subject to the terms and conditions of the awards. Under HEW practice, the period of retention is normally three years and virtually never more than five years. The original ERDA regulation departed from that of HEW by requiring that copies of all documents used in reviews

  > are to be retained by the institution permanently unless permission is obtained from the Administrator to destroy specific records. Upon termination of the life of the institution, the foregoing documents will be transferred to ERDA for further retention.

  The final ERDA language (745.19(a)) omitted the last sentence in the cited passage, in response to comments related to the institutions' obligation to protect the privacy of

> subjects. This obligation could well be violated by an agreement to transfer such records to a Government agency subject to the Freedom on Information Act.
>
> ERDA did not, however, revise its requirement for permanent retention, and this remains as a distinct departure from the HEW rules. The ERDA rulemakers appeared unmoved by comments that Review Board approval is, in some cases (for example, in sensitive matters such as drug abuse), specifically conditioned on the investigator's agreement to destroy materials which reveal the subject's identity as soon as the data are aggregated and the study completed; by comments that the requirement would involve storage of thousands of consent forms and other documentation into perpetuity, unless permission is obtained to destroy specific records, which would appear to require lists of prodigious length; or by the wry comment from the Chairman of Harvard University's Institutional Review Board: "Think of the accumulation of records we would have here at Harvard had this regullation been in effect in 1636."

CPSC. The Consumer Product Safety Commission (CPSC) published in the Federal Register of September 2, 1976, its proposed rules on the portection of human subjects. Its language closely followed that of the HEW rules but differed from it in some significant respects.

One major difference concerned the written assurances required of recipients or prospective recipients of grants or contracts, stating that they will comply with the agency's regulations on human subjects and describing the manner of their compliance. A general assurance describes the procedures applicable to all activities supported by the agency. A special assurance applies to a single activity or project. Under HEW rules (64.5), a special assurance "will not be solicited or accepted from an institution which has on file with DHEW an approved general assurance." For this reason, HEW's requirements (46.4) for general and special assurances include several elements in common.

The CPSC rules permit an organization to submit a copy of its HEW general assurance, with no need for a separate one for CPSC. The CPSC also states, however: "A special assurance will be required from an organization although it has an approved general assurance on file." This departure from HEW procedure, while retaining HEW's descriptions of the two types of assurance, means that each proposal to CPSC must be accompanied by a considerable body of detail that is already in that Commission's hands.

The CPSC rules have other variations from HEW language, some substantive and others merely matters of paraphrase. Even the latter are sufficient to have elicited questions, and they require that each institution concerned must carefully study several pages of regulatory phraseology and compare them with its procedures. Final CPSC rules had not been published at press time.

ONR. A clause entitled "Use of Human Volunteers as Subjects" was developed by the Office of Naval Research (ONR) in 1974. This clause, among other things, directed contractors to adhere to the HEW regulations as set forth in 45 CFR 46. It further stated that, in the event of ambiguity or inconsistency, the ONR provisions would govern. The major conflicts between the ONR and HEW rules concern the legal capacity of the subject to give consent and the acceptability of consent given by another person on behalf of a subject. There is some reason to believe that the ONR lanaguage was derived, at least in part, from a previous regulation applying to uniformed personnel who were patients in naval or military hospitals. The problems have not yet been resolved. The clause, however, is not incorporated into all contracts as originally intended, but is confined to those that involve hazardous situations for human subjects.

National Commission. The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research was established by Section 201 of the National Research Act, Public Law 93-348, July 12, 1974. The National Commission's functions are associated primarily with HEW, but Section 202(a)(3) of the Act instructs it to conduct an investigation and study to determine the need for a mechanism to assure protection of human subjects in programs not subject to HEW regulations -- that is, sponsored by other agencies. The statute says further: "If the Commission determines that such a mechanism is needed, it shall develop and recommend to the Congress such a mechanism." The National Commission is scheduled to go out of existence December 31, 1977, but there is some indication that it may be made a permanent body.

Findings. The protection of human subjects is a topic in which there has been a clear and proper preemption of the field by a lead agency: NIH acting on behalf of HEW. If other agencies are permitted to deviate from or even to paraphrase the NIH/HEW regulations, the result will be unnecessary duplication of reporting, recordkeeping, and other activities on the part of the Government as well as the organization involved. Some agencies, including the National Science Foundation and the Department of Agriculture, have accepted the NIH/HEW regulations by reference, without finding it necessary to paraphrase, interpret, or expatiate. Others, even while recognizing HEW's precedence, phrase their regulations so as to require conformity to their own policies. This creates conflict if future changes in their policies and in HEW's are not identical and simultaneous. In addition, it requires miltiple submission of general assurances, which are frequently intricate and lengthy documents and which must be updated periodically.

The Interagency Task Force on Higher Education Reporting Burden, whose report was issued December 14, 1976, included representation from the Commission on Federal Paperwork and 14 other executive branch agencies. Its report specifically cited human subject protection as an area in which a single agency should be identified for managing the Federal interest in order to minimize the reporting and recordkeeping burden. (see Appendix B)

Recommendation No. 9

Cognizance for regulations in the specific area of the protection of human subjects should be assigned to the Department of Health, Education, and Welfare, acting with the advice and consent of an appropriate interagency committee.

No agency other than HEW should be permitted to paraphrase, interpret or particularize these regulations. Enforcement responsibilities may, if desired, be assigned to other agencies, particularly if the organization involved has no grant or contract with HEW in which human subjects are used. However, in the regulations for a controversial subject of this nature there should be a mechanism for the Federal Government to speak with one voice.

Single Agency Cognizance

There has been a steady increase in the number of areas in which, as in the case of human subject protection, the Federal Government interacts with individuals and organizations of all types. Each individual and organization is likely to deal with a growing number of Federal agencies, each with its own regulations, constraints, and injunctions. In the absence of interagency coordination, these regulations may very well be inconsistent with one another and in some cases even indirect conflict.

The cognizant agency concept has been used for many years as a means of coordination Federal requirements in a given area. Such coordination is particularly needed when the area and the requirements are technical, complicated, or not readily comprehensible. Examples include the Internal Revenue Service, the Patent Office, the Copyright Office, and the Cost Accounting Standards Board. Another instance is the cognizance over Federal statistical activities which has been assigned to the Statistical Policy Division of OMB. These agencies have been assigned complete responsibility, within the limits imposed by statute, for the development of all regulations in their fields. In other words, they are the cognizant agencies in their areas.

A less effective arrangement is one in which a single agency acts as the lead agency, providing the major initiative. Under the lead agency concept, in contrast to that of the cognizant agency, separate regulations may be issued by agencies other than the lead agency, with a strong possibility of inconsistency, incompatibility, or conflict.

In some cases, cognizance may be assigned to two or more agencies, each being given a mutually exclusive area. In one instance, the equal employment opportunity requirements for Government contractors have been divided by sectors: cognizance for contract compliance in the education and other nonprofit sectors has been assigned to HEW, as pointed out in a later section. In another instance, the financial audit and negotiation cognizance for each college and university was assigned to a single agency. This was accomplished through the Office of Management and Budget Circular A-88, first issued May 15, 1968. This Circular, subsequently but temporarily renamed FMC 73-6, assigned most of these institutions to HEW, although others are under the cognizance of the Departments of Defense or Interior or of the Energy Research and Development Administration. These assignments have meant that each institution needs to deal with only one agency, a development that has proven more efficient for the agencies as well as for the institutions.

Use of the cognizant agency principle was suggested in this section for the protection of human subjects, and it is recommended in a later section for equal opportunity reporting. A further example, the disposition of patent rights under Federally-sponsored programs, is given below. In addition, one section of the Commission's health report deals with the cognizant agency concept as a long term approach for the elimination of unnecessary paperwork. The principle, as a long range approach, has potential value in the resolution of future problems and, indeed, in the prevention of problems.

Patent Rights. The disposition of rights to patents made under Government-sponsored contracts and grants was the subject of a Memorandum and Statement of Government Patent Policy issued by the President October 10, 1963. Some revisions, based on the results of studies and of experience gained under the 1963 Statement, were incorporated into a revised Presidential Statement issued August 23, 1971.

The Federal Council for Science and Technology, recognizing that a substantial amount of research is funded by the Government at universities and nonprofit organization, established a University Patent Policy Subcommittee to determine whether special patent procedures for that sector may be required in order to facilitate utilization of inventions. The Subcommittee, headed by Normal J. Latker, Chief of the Patent Branch in the office of the HEW General Counsel, concluded that there are valid reasons for special procedures and suggested specific measures.

The Subcommittee report[7] described four different approaches now being used by different agencies for the allocation of patent rights under research grants and contracts with universities and nonprofit institutions. One of these involves the use of an Institutional Patent Agreement (IPA) for those institutions that are found to have an established technology transfer program that is consistent with the stated objectives of the Presidential policy. This procedure, already successfully used by HEW and the National Science Foundation, is recommended by the Subcommittee for use by all agencies, within the constraints, of course, of their statutory authority.

A second procedure, now used by the Department of Defense, is based upon a "special situation" interpretation under the Presidential Statement, which also permits determination of patent rights when the contract or grant is awarded. The other two procedures, used by all other major agencies, involve a case by case decision on each invention, which requires the preparation, review, and response of detailed data on each separate invention and entails a substantial amount of administrative work on the part of both the institutions and the Government.

A proposed revision to the Federal Procurement Regulations (FPR), implementing the Subcommittee's proposals, has been circulated for comment both within and outside the Government. If the revision is adopted, the Department of Defense has indicated a disposition to amend similarly the Armed Services Procurement Regulation (ASPR). Although both FPR and ASPR apply only to contracts, the proposed regulations have been written for application to grants as well, and the major agencies are understood to be prepared to include grants under the IPA procedure.

Adoption of this procedure on a Government-wide basis would, as the Subcommittee report states, eliminate to the extent possible the wide difference in treatment of a particular institution doing similar work for different agencies (page 18), and reduce the administrative burden on all the parties concerned (page 19). In this instance, the Subcommittee has acted as a cognizant agency in designing a consistent procedure for all agencies. The success of this procedure will require the maintenance of a list of the institutions and organizations that have demonstrated their technology transfer capability and thus their eligibility for an Institutional Patent Agreement. A single cognizant agency could readily maintain this list.

Findings. The cognizant agency principle has proven effective in coordinating Federal requirements in a given area, particularly when the requirements are intricate and difficult to understand. Cognizance may be assigned to a single agency or be divided into mutually exclusive spheres with different agencies having cognizance for each. When several agencies issue separate regulations with respect to the same subject, inconsistencies, conflicts, and burdensome duplications can arise. Even when a lead agency has published a carefully devised code, these incompatibilities may occur, some inadvertently and others by design.

Sole authority to promulgate regulations in the particular field must be assigned to the agency to which cognizance is given, although enforcement of these regulations may in some cases be assigned elsewhere. Even if an agency encounters an unforeseen problem that requires revision of the regulations, such revision must be made by the cognizant agency.

Attention has been given recently to the cognizant agency principle. For example, the Interagency Task Force on Higher Education Burden Reduction, to which the Commission staff contributed, proposed that the principle be applied where appropriate. This appears as Recommendation No. 16 of the Task Force report. (see Appendix B)

Although the cognizant agency principle should be considered for subject areas that are recognized today, its potential use for those that will arise in the future should not be overlooked.

Recommendation No. 10

The Commission on Federal Paperwork endorses the cognizant agency concept as a useful tool, particularly in cases that involve regulations that are technically intricate and require specialized experience for full comprehension and conformance and urges OMB to consider assigning a cognizant agency in all cases where two or more agencies have overlapping jurisdictions that might result in duplicative or inconsistent regulations.

FOOTNOTES

SECTION 2

1. Also known as Federal Management 3-8.

2. University of California, Research Management Improvement Project, *Property Management* (San Diego, California: 1974), p. 13.

3. For instance, officials at the General Services Administration and the Office of Management and Budget.

4. It should be noted that the cost principles for educational institutions, OMB Circular No. A-21 (also known as FMC 73-8) state, in section C.4. a: "Where the purchase of equipment or other capital items is specifically authorized under a research agreement, the amounts thus authorized for such purchases are allocable to the research agreement regardless of the use that may subsequently be made of the equipment or other capital items involved."

5. Circular A-110's Procurement Standands cover the acquisition of supplies, equipment, construction, and other services with Federal funds under the agreements subject to the Circular.

6. Mark Frankel, *Public Health Service Guidelines Governing Research Involving Human Subjects: An Analysis of the Policy-Making Process*, Program of Policy Studies in Science and Technology, Monograph No. 10, George Washington University Washington, D.C.: 1972).

7. Federal Council for Science and Technology, *Report of the University Ad Hoc Subcommittee of the Executive Subcommittee of the Committee on Government Patent Policy*, Washington, D.C., 1975. (Unpublished).

III. STUDENT AID

During the 1960's, the number of public and private institutions of higher education increased by more than 500 and enrollment more than doubled, rising from 3.6 million in 1960 to 8 million in 1970. The same period saw a tremendous growth in both the number of student aid programs and the total amount of financial assistance available to students from local, State, and Federal government, institutional and private sources. In the mid-1950's the total amount of financial assistance available to postsecondary students was estimated at $96 million. By the mid-1970's this amount had grown to nearly $6.1 billion. The National Defense Education Act of 1958 introduced Federal financial aid through the National Defense Student Loans. The Higher Education Act of 1965 established equality of access to postsecondary education as a national priority and initiated a program of Federal grants to low-income students, a guaranteed student loan program, and Federal subsidies for part-time work. In the enactments that followed, Federal support for student aid steadily increased, reaching a peak with the Education Amendments of 1972.

This statute established a program of "Basic Educational Opportunity Grants," that was based on the assumption that all students are entitled to assistance to attend institutions of postsecondary education.

The program was designed as the foundation or "floor" upon which, ultimately, all student aid would be based. Since its inception, the Basic Grants Program has grown rapidly in terms of dollars expended and the number of recipients. Appropriations were increased from $122.1 million in the first year (1973-1974) to $1.69 billion in the fourth year (1976-1977), while the number of recipients increased from 185,249 to 1,268,300. The Federal Government is now the major contributor of student financial aid, providing over 80 percent of the funds available for this purpose in the 1974-1975 academic year.

Equally significant is the increased Federal influence on policies and procedures affecting the entire financial aid system. For example, OE regulations issued in 1975 required, among other things, annual OE approval of every formula used by institutions for determining "reasonable" parental contributions to postsecondary education. Increased Federal involvement has also meant increased paperwork. The Government has not only made available funds for needy students but has also issued rules and regulations specifying to whom and how these funds can be awarded and requiring follow-up reports on how funds were expended.

The enormous growth in financial aid -- in particular the increased Federal involvement has brought with it a number of problems for students, their parents, and educational institutions. The rapid implementation of relatively massive Federal programs, together with the increasing tendency of the Federal Government to direct the provision of student aid, has often resulted in duplicative and unrealistic data requests. The first two parts of this section analyze specific paperwork problems inherent in particular student aid programs and recommend solutions which could be implemented relatively quickly. These problems also provide insight into other more fundamental issues: the need for greater coordination of aid programs at the Federal level, and, equally important, the need for greater coordination among all student aid programs -- local, State and Federal, institutional and private. The final part of this section presents Commission findings and recommendations related to these more basic problems.

Guaranteed Student Loan Program

The single largest student aid program is the Guaranteed Student Loan Program (GSLP) created by Title IV, Part B of the Higher Education Act of 1965. During its first eight years of operation, it served 8.8 million students and lent $9.5 billion. The GSLP insures loans to students in two ways: through the

26 States that operate their own State Guarantee Agencies; and through a variety of private lenders in the remaining States and territories under the Federal Insured Student Loan (FISL) program.

In the first year of the FISL program, students completed only one application but, as information elements were added over the years, by the 1976 fiscal year applicants were required to complete three separate forms to secure one loan.

STUDENT APPLICATION FOR FEDERALLY INSURED LOAN (OE Form 1154, 3/71) was the first form an applicant, school and lender completed. It was 21 inches long, in triplicate, with instructions for completing the form printed on the reverse side. Such a location for instructions was awkward, particularly if the applicant were using a typewriter and had to reinsert the form each time it was necessary to resort to the instructions.

Approximately two-thirds of the information requests on Form 1154 were directed to the student; the others were directed about equally to the school attended and to the lender. Instructions for the school and lender were on the reverse side also.

STUDENT LOAN APPLICATION SUPPLEMENT (OE Form 1260 1/73) was the second form required of students, schools and lenders. Form 1260 required seven information items each from students and schools to be repeated from Form 1154. Instructions were again on the reverse side of this triplicate form, but their location was so indicated on the face sheet.

ADDENDUM TO LENDER'S REPORT OF GUARANTEED STUDENT LOAN (OE Form 1070), STUDENT LOAN APPLICATION SUPPLEMENT (OE Form 1260) was the third form, required of students only. It explained in an 11-inch page the information required by the Equal Credit Opportunity Act and the Privacy Act. At the bottom of the page the student could waive the requirement that OE keep an accounting of disclosures of information necessary to process and service the loan, including possible transfer and ultimate collection.

The National Association of Student Financial Aid Administrators (NASFAA) reported that these forms contained duplicative student identification data and, further, the existence of three separate applications increased the possibilities of having one or more parts of the total application become separated from the other parts or lost.

Compounding the problem was the fact that State Guarantee Agency loans reinsured by GSLP also usually required three separate student application forms. Except for additional information required in some instances by State law, the information requested was the same as in the FISL program and frequently in the same format. States must meet the basic requirements of the Higher Education Act of 1965, but may enact additional requirements that are not contrary to Federal law.

As a result of suggestions from postsecondary education associations, the Office of Guaranteed Student Loans (OGSL) initiated steps to solve the multiple application problem in the FISL program. A mock-up was developed of a booklet containing a single application form and readily apparent instructions and information. The single application form combined the previous three, reducing data items by 21 for students and 14 for schools by omitting duplicative and unessential items.

The proposed new FISL form utilizes standard-sized paper to simplify handling by the student and file storage by the agencies. It contains some new information items from students to assist in curbing the growing default rates as well as information on changes in loan limits and eligibility enacted October 12, 1976, in the Education Amendments of 1976 (P.L. 94-482).

OGSL staff also consulted State Guarantee Agency staffs which comprise the National Council of Higher Education Loan Programs in an effort to achieve consolidation of their multiple student application forms.

Recommendation No. 11

> The U.S. Commissioner of Education should give high priority to consolidating the three student application forms in the Federal Insured Student Loan application cycle for the 1977-78 school year.

Recommendation No. 12

Each of the 26 State Guarantee Agencies should consolidate their student application forms as soon as possible.

Recommendations Nos. 11 and 12 were adopted by the Commission December 3, 1976. The Commissioner of Education replied on January 14, 1977, that "completion of the application redesign project is expected to coincide with the beginning of the 1977-78 academic year, as per the Commission's recommendation." Replies from several State agencies indicate that some have completed consolidation of their application forms.

Campus-Based Programs

Unlike the Guaranteed Student Loan program and the Basic Educational Opportunity Grant (BEOG) program, which provide funds directly to students, the three campus-based Federal programs provide funds indirectly to students through their institutions. Under these programs, funds are allocated to colleges and universities which then are free, within general constraints, to select the students to whom these Federal funds should be awarded.

Although the campus-based programs have not experienced as rapid a rate of growth as the GSLP or the BEOG, either in terms of the appropriations or recipients, they have been a source of serious paperwork problems for the more than 4,000 institutions which annually apply for support. Indeed the campus-based programs constitute a case history of "bad" paperwork, illustrating some of the unfortunate consequences, for the Federal Government as well as the higher education community, of excessive and unrealistic data requests.

The three campus-based programs are administered by OE's Division of Student Financial Assistance. One of these programs, the Supplemental Educational Opportunity Grants (SEOG), provides grants of from $200 to $1,500 a year to students of "exceptional" financial need who would be unable to continue their education without such a grant. The second program, College Work-Study (CWS), subsidizes the part-time employment of needy students, while the National Direct Student Loan (NDSL) program supports long-term, low interest loans. These three programs are generally regarded as supplementary to other forms of student assistance (e.g. Basic Educational Opportunity Grants), and financial aid officers "package" the various aid components in different ways, depending on available funds and student circumstances.

Federal funding is initially allotted to the States according to statutory formulas based essentially on enrollment. Funding levels for institutions within each State are recommended by regional review panels which base their decisions primarily on the institution's previous utilization of funds and the aggregate financial need of its students. An institution applies each fall for support of all three programs on a single consolidated form commonly referred to as the "Tripartite Application."

In the early years of the campus-based programs, this form was relatively simple, requiring only minimal data on enrollment and institutional needs. Starting in 1971, OE sought to collect additional information to build a national matrix showing the aggregate financial need of all students on each campus. The aim was to demonstrate total need to the Congress and to target funds to those institutions whose students had the greatest need. In the course of this project, the application was expanded drastically. However, despite the increased data requests, there were no major shifts in funding because the State allotment formulas were preserved. Although the targeting concept was dropped, the massive application has remained.

Institutional Burdens. Applicants report that the Tripartite Application is difficult and time-consuming to complete. According to a survey conducted by NASFAA, the average institution spends four to six weeks gathering the data and preparing the application. Completion of the form frequently interferes with other professional responsibilities, for instance, reducing time available for student counseling.

The current application is 15 pages[1] and so complex that OE has found it necessary to issue a 17-page set of instructions to accompany the form. Applicants are required to supply three sets of figures -- for the preceding, current and following academic years -- for each of the following items:

- Enrollment: number of undergraduate and graduate students eligible to participate in any of the programs;
- College Work-Study Request: number of actual and estimated recipients according to location of employment (on campus/off campus), average award, gross compensation to students;
- NDSL Request: number of actual and estimated recipients, average loan, total loans advanced to students, litigation and collection costs on defaults, cash on hand, reimbursements for loans cancelled for creditable teaching and military service;
- SEOG Request; number of actual and estimated recipients, average grant, total funds expended and requested;
- Institutional Need Analysis: total number of students needing financial assistance and the figures used to support the analysis (e.g. estimates of family contribution, average cost, etc.);
- Costs for Needy Students: detailed breakdown of costs (tuition, board and room, etc.) for single and married students, for those living with parents and those living alone;
- Family Resources: breakdown of average and total family contributions for single and married students;
- Other Resources: detailed breakdown of other sources of aid (Basic Grants, Veterans' Benefits, institutional aid, etc.) according to number of students, dollar amounts, and size of average award.

In addition, the applicant institution must furnish a description of all key personnel (specifying their years of experience, functions, and percentage of time devoted to administration of student financial aid programs), a narrative describing the method of projection, and a summary of institutional aid expenditures over a three-year period.

Probably the most burdensome aspect of the application (aside from the sheer mass of data requested) is the frequent requirement that institutions make estimates from samples and weigh certain factors in order to arrive at reasonable projections of the detailed costs of education, student resources and financial need for both the current and following academic years. Officials of many institutions claim that some of the data are impossible to obtain.

For example, while fairly reasonable estimates for the following year can be provided on the amount of aid available from the institution s own resources, it is impossible to know the number of students who will be eligible for Basic Grants or the amount of such awards. The Basic Grants are subject to annual appropriations which in the past have been either underutilized or have required supplemental enactments. The rate of participation by students varies annually. Further, the awards are not determined by the institution. Similarly, estimates on the availability of loans and off-campus employment can only be made by guessing at future conditions in the local loan and labor markets.

Agency Burdens. OE regional offices report that the application requires an inordinate expenditure of their own staff time and costly, complex panel review procedures. In 1975, for example, Region V (the largest region) received 740 applications each containing 15 pages and 1,362 data cells. Following established procedures, the staff must check and edit each application for completeness, conformity with guidelines, and the accuracy of mathematical calculations. (One error can throw off the entire request.) Thus, 1,007, 880 data items had to be edited in Region V alone.

Estimates of regional staff time expended in the entire application process (which includes workshops for applicants, editing of applications, panels and post-panel appeals boards) range from approximately 20 percent in smaller regions such as Region I (Boston) to 40 or even 50 percent in Region V (Chicago). The inordinate expenditure of staff time has become a source of increasing concern because staff are diverted from other critical tasks such as monitoring programs to handle the paperwork.

The mass of data and the number of items also make the panel members' task of reviewing applications extremely difficult. In 1975, OE found it necessary to issue a 50-

page set of guidelines to assist panelists -- another indication of the unmanageable nature of the form. The process is further complicated by the fact that panelists must often recalculate data items if they exceed the "yardsticks" set by the panel. (The widely-differing estimates submitted by applicants often force panels to impose yardsticks for costs such as board and room as a basis for judging the reasonableness of applications. The yardsticks are based on comparisons of entries from similar institutions within the region.) Given the mass of data and the need for recalculations, some panels indicate that they seldom have more than 30-45 minutes to review and evaluate each application. Panel sessions could perhaps be extended but, in the opinion of many reviewers, the problem lies more with the volume and complexity of the data to be considered than the duration of panel reviews which are already considerable and, in most regions, last a week or two.

Questionable Benefits. The burdens on applicants and regional staff might be justified if the application achieved reasonable results. However, there is considerable evidence that it does not. It is widely acknowledged by Government officials and members of the financial aid community that the current form encourages the inflation of applications; that is, it encourages institutions to submit requests which do not reflect the actual financial need of their students. This problem was highlighted in a General Accounting Office

(GAO) report issued in 1974:

> The process through which educational institutions are allocated funds under CWS, NDSL and SEOGs does not ensure an equitable distribution of appropriated funds. Some educational institutions submit applications which do not reflect accurate estimates of student need of anticipated applicants. Regional panels convened by OE to review applications and recommend amounts to be allotted to the schools do not always identify and make appropriate adjustments to these applications.

A 1976 NASFAA study disclosed that 68 percent of the panelists who participated in a survey believed that "many to most applications were inflated."

Knowledgeable Government officials trace the problem of inflated requests to the changes that were made in the Tripartite Application in 1971. Initially, institutions had been asked how much they had spent on programs and how much would be needed the following year, based on anticipated changes in enrollment. The results, according to OE officials, were fairly realistic estimates of institutional need. The new application, however, required institutions to supply estimates on all students by income category. The problem was that most colleges and universities had not systematically been collecting this information and were not prepared to respond.

As a result, even well-meaning institutions built in projections that showed more financial need than they actually had. This initial unrealistic data request triggered an unfortunate cycle which continues to plague

OE: panels how almost routinely reduce applications, on the assumption that most are inflated, while many colleges and universities continue to inflate their requests, knowing from previous experience that their ultimate allocation will be only a small percentage of what had been requested. This is not an attempt by the institutions to defraud the Government; rather, as the GAO report stated, colleges and universities are forced to "play the game" to meet the real needs of their students.

The current form contributes to the inflation of applications by forcing institutions to speculate on the future and by accepting unauditable data. This point was the principal finding in a 1976 study of the Tripartite Application undertaken by Region V officials:

> The application assumes that the answers are statistically sound, but in fact there is no way that much of the data can be audited...Decisions on funding are made on projected figures and these projections cannot be validated until the following year...

Compounding the problem is the fact that figures in the application are not even compared with available historical data to determine if the estimates are reasonable. Each institution, for instance, must submit annually a Fiscal Operations Report which requires, among other things, data on actual funds expended and the number of student applicants who were not aided because of insufficient funds. Although these reports could be a valuable resource for the panels, the GAO study found that only three of the seven panels surveyed used the reports in their reviews.

Further, staff review indicates that much of the application data is not used in arriving at final award decisions -- in spite of the inordinate time and expense spent gathering, editing and massaging the data. After the panels have met, their recommendations and the full applications are sent to Washington where data is entered into a computer for statistical analysis and generation of award letters. The Director of the Student Financial Aid Division informed the Commission that, in 1975, less than a dozen data items were pulled from the applications for storage in the computer bank.

Findings. Without exception, OE officials, panelists and financial aid officers who were contacted by the Commission agreed that the current application is highly undesirable for one or more of the reasons discussed above. In response to complaints from the financial aid community and regional offices, OE has organized several task forces to review the application and devise ways of simplifying procedures. Possibilities under consideration include changing the current panel allocation system to a formula approach based either on enrollment or previous utilization of funds.

It appears that OE has been moving in a direction that would place greater reliance on data that is readily available and verifiable, while minimizing the number of detailed and often unreasonable estimates currently required. This is a direction that the Commission believes should be pursued vigorously in the interest of both the efficiency and effectiveness of data collection. The approach seeks to address the major problem with the current system: the inability of institutions to estimate accurately and of the agency to validate promptly such a mass of data.

Another possibility that should be fully explored is consolidation of the application and the Fiscal Operations Report into a shortened and redesigned form. This would eliminate duplicative data items while making critical historical data available to the panels.

Recommendation No. 13

The Office of Education should give a high priority to shortening and simplifying of the Tripartite Application;

Recommendation No. 14

Consider approaches that place greater reliance on data that is readily available and verifiable, while minimizing the number of detailed estimates;

Recommendation No. 15

Consider, as a first step, the elimination of those data items that may be impossible for institutions to obtain: projections on Basic Grants, State Scholarships and Grants, Veterans Benefits, other loans, other employment and other sources of aid;

Recommendation No. 16

Explore the possibility of merging the application and Fiscal Operations Report into a redesigned form; and

Recommendation No. 17

Continue to work closely with representatives of the National Association of Student Financial Aid Administrators in all phases of the planning and development of a new and improved application.

These recommendations were adopted by the Commission on February 25, 1977. In response, the Office of Education replied to the Commission on March 25, 1977 that its Division of Student Financial Aid had:

- Initiated proposed rule changes within the regulatory structure of each program, which will be subject to broad public comment. These modified regulations will, when published this year, govern a vastly foreshortened and simplified form to be used in the fall.
- Proposed that except for institutions which are first time applicants, this application will secure verifiable data--a most important change.
- Recommended that, in light of organizational changes in the student aid programs, and the potential for continued consolidation and streamlining of reporting requirements during FY 1978, they will not attempt modification of the fiscal report for these programs, to be used in recording current year expenditures. However, there are plans to simplify and streamline this document for the 1978 reporting year.
- Engaged in widespread consultation with student aid administrators, national leadership in the higher education community and others concerning this important easing of the paperwork burden.

More detailed information was promised "on the end product when it is available this summer."

Toward a Single Application

The specific paperwork problems inherent in the Guaranteed Student Loan and campus-based programs illustrate another more fundamental problem: the lack of close coordination among Federal student aid programs, in particular between the BEOG and the other aid programs administered by the Office of Education. The BEOG program has brought massive amounts of financial aid to students, but to cite one example, the current application and allocation system for the campus-based programs does not yet reflect the full effects of the BEOG program, which is now the foundation of all student financial aid.

The Tripartite system was not designed to accommodate a new and massive source of funds. The "short form" of the Tripartite Application, discussed above, was based on the assumption that institutional need had already been established through previously submitted "long forms" and that an institution submitting the "short" form was seeking only to continue its aid programs at the current rate with a certain increase attributable to inflation. This assumption does not take into account the fact that the "long forms," in many instances, were submitted prior to the emergence of the BEOG program, and their information on other resources is obsolete.

In recognition of this and other problems resulting from overlapping programs, student aid programs of the OE were recently reorganized into a single Bureau of Student Financial Assistance. Previously, administration of OE's seven student grant and loan programs was divided between two offices: the Office of Guaranteed Student Loans which oversaw that masssive program, and the Bureau of Postsecondary Education which administered the other six student assistance programs (BEOG, CWS, NDSL, SEOG, State Student Incentive grants, and cooperative education awards). The two offices had different policies and procedures and little continuing contact or cooperation.

Although the paperwork implications of this reorganization are not yet clear, the action appears to be a necessary preliminary step for improved coordination and management of these programs. It offers, for instance, the opportunity for greater sharing of information among the programs and possibly the development of a coordinated and computerized data management information system of all OE student aid programs in place of the separate systems for each program currently in operation.

Consolidation of OE student aid programs in a single office then has potential for reducing paperwork and streamlining the student aid system at the Federal level. This, however, is only one, albeit a very important, aspect of the paperwork problem as it relates to the delivery of student financial aid.

Any serious study of paperwork problems inherent in student aid programs must recognize the interconnected nature of the Federal student aid programs with those from local, State, institutional and private sources. Federal student assistance represents only a part of the entire constellation of aid programs which have different purposes, policies, schedules and procedures. The impact of so many diverse programs and procedures on the student is the subject of these pages.

One of the fundamental problems is simply the number of applications and needs analysis forms that students and parents must complete to demonstrate their eligibility for assistance. A student may file a separate financial aid application with each college or university to which admission is sought, another to a State agency for State scholarship, and possibly a third for a Federal Basic Educational Opportunity Grant. In addition, the student may submit an application for a Federally Insured Student Loan as well as separate applications for scholarships or grants from private sources. To complete these forms, students and their parents must assemble information from income tax forms and other records and manipulate the data in different ways to respond to slightly different questions on the various forms.

Multiple methods or systems for determining financial need compound the problem. There are three major national systems for needs analysis--those of the American College Testing Program (ACT) and the College Scholarship Service

(CSS), which provide determinations of parental ability to pay postsecondary education costs to colleges and universities, and the BEOG Analysis, which has its own eligibility determination procedures.

In addition, an institution may use the income tax method while some State agencies utilize other needs analysis systems. Prior to the work of the Keppel Task Force, which is discussed below, a family could provide identical financial information to the two major services (ACT and CSS), yet the estimates of the family's ability to pay for educational costs provided by the two services might vary by as much as $1,000 due to differences in their respective procedures and formulas.

The application process is further complicated by the lack of standard definitions for some of the data requested and by different deadlines for the distribution and processing of applications among private, State and Federal systems. As the testimony of educational associations and student groups has amply demonstrated, these factors have made the application process highly burdensome and confusing to students and their parents. Of even greater concern to some is the distinct possibility that students might be missing opportunities to secure necessary financial assistance because of the multiplicity of forms.

Keppel Task Force. In 1974, 26 education organizations and institutions formed the National Task Force on Student Aid Problems to seek ways of simplifying and improving the system. The group is commonly known as the Keppel, Task Force in honor of its director, Francis Keppel a former U.S. Commissioner of Education. Its final report, issued in 1975, contained major recommendations pertinent to the analysis of student financial need, the collection of data from students, and the coordination and management of aid programs.

To eliminate confusion resulting from the different needs analysis systems, the Task Force developed, in cooperation with several recognized economists, a "uniform methodology" for determining parental ability to contribute to educational costs. This methodology represented a compromise between the existing systems. It was subsequently adopted by ACT and CSS and is now used for the analysis of all financial statements submitted to them.

The second major contribution of the Task Force was development of a common form to collect data necessary for needs analysis including all information necessary to "drive" the "uniform methodology." Recognizing that immediate adoption of the common form by all parties would be extremely difficult, the Task Force recommended a developmental process for its implementation. This called for initial adoption of common data items and definitions by Federal, State, and private student aid programs as well as the major services, followed by field testing of the common form and, finally, adoption of this form by all parties for use in the academic year 1976-77.

In view of the special needs of the BEOG program, the

Task Force further recommended that this program continue to have a separate processing function, but "students who so requested could have a copy of the data (on the common form) submitted to ACT and CSS or another agency transmitted to the BEOG (contractor) for processing in lieu of a separate application."

Until quite recently, these recommendations had met with only partial success. Statewide field tests of the common form were conducted in Kentucky and Wisconsin in 1975-76. Based on these experiences, modifications were made, and CSS and ACT agreed to adopt the common form for their state aid programs.

Later Developments. Central to the success of the Keppel Task Force was adoption of the "uniform methodology" and common form by the Basic Educational Opportunity Grants program, which was established by Congress as the foundation upon which all other forms of financial aid would be based. Because nearly all students file a separate BEOG application in addition to other financial aid forms, significant improvement in the student aid delivery system could be achieved only with the participation of the Basic Grants program.

For a variety of reasons, however, OE had been unwilling to adopt the Task Force recommendations. Following discussions over the past two years between BEOG program staff and the Coalition for Coordination of Student Financial Aid,[2] a compromise settlement was reached in January 1977 which goes far toward simplification of the student financial aid delivery system.

The agreement between BEOG and the Coalition calls for a new alternative delivery system for the BEOG which will enable students to file one financial aid form and receive consideration for all financial aid programs. This will be accomplished through a tape exchange of selected data elements between BEOG and State and private agencies collecting data for needs analysis (see Figure 3).

As the first step, the Coalition and OE will agree on common data element definitions and instructions which will be used to "drive" the BEOG'S and the "uniform methodology."[3] Beginning in January 1978, students who file forms with approved national processor (e.g. ACT, CSS, or a State agency) will have their BEOG'S processed at the same time without having to file a separate application. Eligible processors will provide carefully edited computer tapes to the central BEOG contractor which will, in turn, check its files against duplication and send "Student Eligibility Reports" to students. Other than the tape exchange, all other aspects of the BEOG application process will remain the same.

Although the proposed system will represent a significant improvement over existing procedures, a number of complex administrative and technical problems must still be resolved. For instance, the agreement is premised on the adoption of a common calendar (January 1) for distribution of all financial aid applications. This would allow the use of actual, not estimated, income tax information on applications, as required by the Basic Grants Program. Knowledgeable officials agree that this and other administrative problems resulting from the agreement can indeed be solved. In the process, they anticipate further improvement and refinements in the system.

Once implemented, the new system will allow a student to complete one application form and receive consideration for all Federal aid programs except the Guaranteed Student Loan, most State programs, and all institutional aid programs. A conservative estimate from the National Association of Student Financial Aid Administrators is that the new system could initially reduce the number of applications by 3-4 million a year. Potentially, it could save as many as 10 million applications once the system is fully implemented by all parties.

Recommendation No. 18

The Commission on Federal Paperwork endorses the concept of a single financial aid application for all Federal, State, institutional, and private forms of student financial aid.

Recommendation No. 19

The Commission on Federal Paperwork commend the U.S. Office of Education and the Coalition for Coordination of Student Financial Aid for their efforts to simplify and improve the financial aid delivery system.

Recommendation No. 20

The Commission on Federal Paperwork urges the Office of Education and the Coalition to give a high priority to development of the Tape Exchange Program to ensure its implementation for the 1978-79 academic year.

FOOTNOTES

Section Three

1. Institutions which received funds for the past two years and whose current requests do not exceed 110 percent of previous allocation may submit a shortened version of the application. The use of the two forms (the so-called short and long forms) which are based on different criteria for review -- the long form primarily on the aggregate financial need of students; the short on the institution's previous utilization of funds -- has created problems for reviewers and contributed to inequities in the distribution of funds (see p. below). The short form and other aspects of the Tripartite Application are currently under review by OE.

2. A voluntary group from the higher education community organized to follow-up on the Keppel Task Force recommendations.

3. The Basic Grants Analysis and the Uniform Methodology will still produce different estimates of a family's ability to pay for educational costs. Both OE and the Coalition agreed that this was appropriate given the different purposes of the two systems: to determine program eligibility in the case of the BEOGs, and to estimate total financial need in the case of programs using the Uniform Methodology.

IV. NONDISCRIMINATION REQUIREMENTS

The Civil Rights Act of 1964 required desegregation of public education (Title IV) and forbade discrimination on the basis of race, color or national origin in programs receiving Federal financial assistance (Title VI). Thus, ten years after the Brown v. Board of Education of Topeka decision,[1/] nondiscrimination in education was mandated by statute. Since then, comparable statutes have extended this protection from discrimination to other groups: women, the aged, the handicapped, and veterans.

As seen by educational institutions today, nondiscrimination programs are based both on the principles of equal educational opportunity for all and on affirmative action to overcome past discriminatory practices. These concepts, however, are not always compatible and have recently been much debated. The educational community refers to this dilemma as the "DeFunis Syndrome" and, in simplest terms, the issue is how affirmative action programs can be implemented for minorities and women without discriminating against non-minority men. Specifically, the question is whether special admissions or financial aid programs for minority students offend the rights of other equally or better qualified students who are denied these benefits because they are not identified with a minority. Judicial decisions are inconsistent,[2/] and until the issue is resolved, the meaning and administration of antidiscrimination programs will remain subject to question.

Cognizant Agency

Responsibility for enforcement of equal opportunity and affirmative action programs rests with many Government agencies. As a result, reporting and recordkeeping requirements are different; compliance reviews are duplicative; and the necessity to reply to multiple forums places a tremendous burden on respondents in terms of money, time, and paperwork. These burdens weigh heavily on the educational community, particularly the nation's colleges and universities. Their admissions policies and employment practices are subject to review, and they are also recipients of Federal grants and contracts.

The legislation, executive orders, regulations, and judicial decisions of the past 15 years have combined to create a veritable maze of equal opportunity requirements administered by different Federal agencies with differing criteria. The following are the significant laws, regulations, and executive orders affecting the education community:

- Title IV of the Civil Rights Act of 1964 provides for the desegregation of public education, but not the assignment of students to public schools to overcome racial imbalance. No regulations have been issued; instead, Title IV has been the subject of considerable judicial review.
- Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs receiving Federal financial assistance. Because Federal financial assistance has been interpreted to include grants, loans and even student aid, virtually every college -- public or independent -- is subject to Title VI. Enforcement is the responsibility of those agencies providing financial assistance; however, most reporting by educational institutions is to HEW's Office for Civil Rights (OCR).
- Title VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, prohibits discrimination in employment, hiring and firing, and compensation on the basis of race, color, religion or national origin. Enforcement is the responsibility of the Equal Employment Opportunity Commission (EEOC) to whose regulations educational institutions must adhere as employers.

- *The Equal Pay Act of 1963* also prohibits discrimination in compensation, but on the basis of sex. It is enforced by the Wage and Hour Division of the Department of Labor.
- *Title IX of the Education Amendments of 1972* prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance. Like Title VI, enforcement is the responsibility of those agencies providing financial assistance, but most reporting by educational institutions is to OCR.
- *The Rehabilitation Act of 1973* provides that otherwise qualified handicapped individuals shall not be discriminated against under programs or activities receiving Federal financial assistance. The Department of Labor's Office of Federal Contract Compliance Programs (OFCCP) has policy responsibility and oversees enforcement of Section 503, dealing with employment. Regulations and enforcement of Section 504, prohibiting discrimination in programs or activities receiving Federal financial assistance, are the responsibility of OCR.

- The Age Discrimination in Employment Act of 1967, as amended, prohibits employment discrimination against persons aged 40 to 65. Enforcement is the responsibility of the Wage and Hour Division of the Department of Labor.
- The Age Discrimination Act of 1975 provides that no person shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, programs or activities receiving Federal financial assistance. Enforcement is an OCR responsibility.
- The Vietnam-Era Veterans Readjustment Assistance Act requires affirmative action in the employment and advancement of disabled and Vietnam-Era veterans. Written affirmative action plans are required of Government contractors holding contracts in excess of $50,000 or having 50 or more employees. Responsibility for enforcement is shared between two Divisions of the Department of Labor, OFCCP and the Veterans Employment Service. In addition, job openings are listed with the various State employment services for referral.
- Titles VII and VIII of the Public Health Service Act, as amended by the Comprehensive Health Manpower

Act of 1971, prohibit discrimination on the basis of sex in the admissions and employment practices of health training programs receiving Federal financial assistance. Enforcement is an OCR responsibility.

- Revenue procedures issued under Section 501 of the Internal Revenue Code provide that schools which do not have a racially nondiscriminatory policy do not qualify for exemption from Federal income tax. This applies primarily to independent institutions at all levels, and enforcement is the responsibility of the Internal Revenue Service (IRS).
- Executive Order 11246, as amended, forbids Government contractors from discriminating in employment on the basis of race, color, religion, sex or national origin. In addition, contractors are required to take affirmative action to assure that employees and job applicants are treated without regard to these factors. Written affirmative action plans, including utilization analyses of the workforce and goals and timetables for remedying deficiencies, are required of contractors with contracts of $50,000 or more and 50 or more employees. Policy and oversight are the responsibility of OFCCP which has designated OCR as the compliance agency responsible for enforcement with respect to contracts with educational institutions.

- Executive Order 11764 delegated to the Attorney General the authority to coordinate and assist agency efforts to enforce Title VI. By regulation, the Department of Justice has set minimum standards for agencies to use to ensure compliance. These minimum standrads allow enough latitude so that Title VI enforcement efforts can vary among agencies providing Federal financial assistance.

In addition to these laws and executive orders, many State and local governments have similar antidiscrimination laws or ordinances. Thus, enforcement is conducted, not only by the Federal Government at both central and regional offices, but at State and local levels as well.

Reporting and Recordkeeping

As employers and Government contractors, educational institutions are subject to the same laws and regulations as other segments of the economy. These laws and regulations have been analyzed by the Commission in a separate report on Equal Employment Opportunity. In addition, educational institutions are subject to other reporting requirements as participants in specific Federal programs. One such program, authorized by the Emergency School Aid Act, provides grants to local education agencies for the purpose of overcoming minority group segregation within the schools. Some of the provisions cited above have been selected for further discussion in this report because of the paperwork burdens they impose. One must remember, however, that those selected are not the total of antidiscrimination reporting by the institutions. Rather, they are in addition to the others outlined above, are generally applicable, and do not relate only to specific educational programs or to employment practices.

Titles VI and IX

Title VI of the Civil Rights Act prohibits discrimination on the basis of race, color or national origin in any program receiving Federal financial assistance. Title IX of the Education Amendments of 1972 prohibits discrimination on the basis of sex in educational programs receiving Federal funds. Educational institutions must report to OCR as well as file assurances of compliance with other agencies providing financial assistance (for example, grant-making agencies such as the National Science Foundation, the National Endowment for the Humanities, etc.).

Surveys. At the elementary and secondary levels, OCR requires the nation's 16,000 public school districts to complete the Elementary and Secondary School Civil Rights Survey (OS/CR 101 and 102) biennially. This survey collects data to measure compliance with the Rehabilitation Act of 1973 as well as Titles VI and IX. Data requested includes information on the number of pupils transported at public expense; vocational education programs; home economics and industrial arts enrollments; drop-outs; previous year's graduates; student discipline; special education provided handicapped students; and bilingual and English-as-a-second-language programs. Much of this information must be broken down and reported by sex and racial/ethnic designation. Nationwide completion of the 1976 survey is estimated to require 180,000 to 330,000 person hours.

At the college level, institutions are annually required to complete some forms in the HEGIS series, now under joint sponsorship of OCR and NCES. Student information pertaining to Titles VI and IX is collected via the FALL ENROLLMENT AND COMPLIANCE REPORT OF INSTITUTIONS OF HIGHER EDUCATION (OE Form 2300-2.9) and DEGREES AND OTHER FORMAL AWARDS CONFERRED (OE Form 2300-2.3). These forms ask for a breakdown of students enrolled or degrees granted in 301 fields of study by racial/ethnic category and sex. In addition, other HEGIS surveys deal with staff composition and salary distribution.

Assurances. Agencies providing Federal financial assistance in the form of grants require assurances that recipients are in compliance with Titles VI and IX. These are brief forms which institutions must sign and return. In most cases, an institution completes each assurance one time for every agency from which it receives Federal financial assistance. Unless compliance status changes, future grant applications usually incorporate previously filed assurances by reference. This procedure is used at NSF and HEW. A few agencies, however, require Title VI and Title IX assurances for each grant, and the same assurances may be submitted many times.

Self-evaluation. In addition to surveys and assurances, Title IX required every institution receiving Federal financial assistance to conduct a self-evaluation by July 21, 1976, make modifications necessary for compliance, and take appropriate remedial steps to eliminate the effects of any discrimination on the basis of sex. A description of modifications and remedial actions is to remain on file at the institution for at least three years after completion of the evaluation.

HEW did not prescribe the exact mode of conducting a self-evaluation. However, a recommended format, prepared under an Office of Education contract and used by many institutions, was promulgated in a 148-page book, Complying with Title IX/Implementing Institutional Self-Evaluation. Conducted nationally, the suggested format would have required some 13,546,292 pages of paper (148 pages per school, multiplied by 91,529,[3] the approximate number of public elementary and secondary schools, and colleges and universities in the country).

Legislative Intent. Title IX also presents a good example of the problems executive agencies encounter when interpreting the statutory intent of Congress. The law provides: "No person . . . shall, on the basis of sex . . . be subjected to discrimination under any education program or activity receiving Federal financial assistance." Title IX was first introduced as an amendment to Title VI and was passed with little legislative history. It contains, however, certain exemptions which had not appeared in Title VI. For instance, certain religious institutions are not covered, and separate but equal housing is permitted.

After enactment of Title IX, OCR wrote regulations which eventually became a source of much controversy and many questions. One concerned athletic programs: Does Title IX require colleges to spend as much money on women's athletics as revenue-producing men's athletics? An amendment proposed in 1974 to exempt revenue-producing sports was deleted in conference and replaced by the Javits amendment requiring HEW to "prepare and publish...proposed regulations implementing (Title IX) which shall include with respect to intercollegiate athletic activities reasonable provisions considering the nature of particular sports." In addition, the Bayh amendment, enacted December 31, 1974, exempted tax-exempt sororities and fraternities, the YMCA, YWCA, Girl Scouts, Boy Scouts and other similar organizations from coverage of Title IX.

Yet the controversy was not over. In reply to an inquiry in July, 1976, OCR issued an opinion letter stating that father/son and mother/daughter banquets were in violation of Title IX. The opinion was later reversed after direct intervention by President Ford. Subsequently included in the Education Amendments of 1976 was another set of exemptions: Boys' and Girls' State; father/son and mother/daughter events; and certain beauty pageants.

Although the Title IX regulations have been a continuing source of controversy for lack of what some consider a "common sense approach," former OCR Director Martin Gerry cited the problems inherent in administering what he referred to as "sense of the Congress" civil rights legislation. As Gerry explained, the executive branch was given a statute, with little legislative history to reflect Congressional intent, and the task of drafting regulations carrying out the will of the Congress. In essence, the approach left much of the law to evolve from the regulations.

Tax Exempt Status

Revenue procedures issued under section 501(c)(3) of the Internal Revenue Code provide that independent schools without a racially nondiscriminatory policy do not qualify as exempt from Federal income tax. In its application for tax-exempt status an institution must provide data on:

- Racial composition, current and projected, of the student body and staff
- Amount of scholarship and loan funds awarded to students and racial composition of recipient group
- List of incorporators, founders, board members, and major donors
- Statement whether any incorporators, founders, or major donors have an objective of maintaining segregated education and, if so, whether they are officers or active members of the organization
- Year of organization.

Additional paperwork requirements imposed on tax-exempt institutions include the printing of a statement of nondiscriminatory policy in all brochures and catalogs dealing with admissions, programs, or scholarships and in other written advertising. Further, IRS requires that the following records be maintained for three years: racial composition of student body, faculty, and administration; recipients of scholarships and financial assistance; brochures, catalogs, advertising; and copies of all materials used by or on behalf of the school to solicit contributions.

Thus, the IRS requirements, while not totally duplicative, require maintaining data routinely submitted to other Government agencies. For instance, racial composition of the student body is regularly reported to OCR and staff information to OCR, NCES, and EEOC. In this case, the question is not the difficulty of providing information, but the lack of cooperation among agencies in sharing the same basic information.

Compliance Reviews

Compliance reviews are conducted by those agencies responsible for enforcement of the various statutes. They may take several forms and be conducted by central or regional office personnel. For instance, OCR reviews the Elementary and Secondary School Civil Rights Survey and HEGIS reports of enrollment, degrees granted, and staff salaries to monitor compliance with Titles VI and IX. It also reviews, under authority delegated by OFCCP, affirmative action plans required of educational institutions under Executive Order 11246. In addition, grant-making agencies have similar authorities under Executive Order 11764.

As discussed in another Commission report, the Equal Employment Opportunity Commission monitors responses to its surveys of ELEMENTARY AND SECONDARY STAFF INFORMATION (EEO-5) and HIGHER EDUCATION STAFF INFORMATION (EEO-6). In addition to reporting requirements, all enforcement agencies have criteria for the preservation of specified records needed to determine violations. Recordkeeping requirements are part of enforcement procedures under Executive Order 11246 (monitored by OCR and OFCCP), the Equal Pay Act (monitored by OCR), and IRS regulations. All these agencies are empowered to review relevant records to determine whether discrimination has occurred.

Colleges and universities have repeatedly pointed out the duplicative nature of on-site investigations. For example, representatives of Labor, HEW and IRS may all visit the same institution to audit equal opportunity programs. During the course of their investigations, many materials are requested. At one institution, IRS requested copies of all fund-raising materials; in another investigation, OCR asked for the floor plans of all dormitories and the sex of the occupants.

This is not the full extent of Federal monitoring of equal employment policy. Other agencies may also become involved. For instance, if a university operates a radio or television station, it is required to file a statement of its equal employment policy with the Federal Communications Commission (FCC). The FCC requests information on general policy; responsibility for implementation; dissemination; recruitment procedures; on-the-job-training opportunities; surveys of minorities and women in the workforce and the station's actual workforce; the number of new hires within the past year, showing how many were minorities or women; promotion policy; and a brief narrative of the effectiveness of the station's equal employment policy. If complaints of discrimination are filed with the FCC, the station's records are subject to review, and the matter may become the subject of a hearing before an Administrative Law Judge.

Some equal opportunity reporting may be initiated by the courts, as in the OCR-1000 Series. In an article which appeared in the July 5, 1976, issue of U.S. News and World Report, Dr. Donald Reichard, Director of Institutional Research at the University of North Carolina, cited "10 HEW reports that swamped the computer for six months." These were the OCR-1000 series, the "Report on Progress in Implementing Statewide Desegregation Plans," required in eight southern and border States by order of U.S. District Court for the District of Columbia settling Adams v. Weinberger.[4] The OCR-1000 series consisted of ten forms requesting information regarding employees, new employees, departing employees, and promotions of employees in institutions of higher education; student applicants, acceptances, and actual enrollment in institutions of higher education; financial assistance to students in institutions of higher education; progression of students in higher education programs; and reasons for students not returning to higher education, as well as information on employees of State boards and governing boards of education and the composition of governing boards for higher education.

Complaints

An individual who believes that he or she has been discriminated against may file a complaint with the Federal compliance agency having jurisdiction. Because there are substantial areas of overlapping jurisdiction, a single complaint may be taken from tribunal to tribunal in an attempt to secure a favorable verdict. Although the paperwork implications cannot be precisely measured, they are clear: a complaint is filed in one forum; the institution responds in accord with that agency's rules, regulations and procedures; if the issue is resolved in the institution's favor, the complainant may proceed to another forum and the university must again prepare its reply, this time in response to a different complaint filed in accord with another agency's regulations and procedures. This can be repeated many times, since there are frequently State as well as Federal bodies having jurisdiction.

Alternative Solutions

The duplicative nature of equal opportunity reporting and recordkeeping and the corresponding overlap of jurisdictional boundaries have been subjects of discussion for several years. In 1974, the U.S. Commission on Civil Rights recommended the formation of a National Employment Rights Board[5] with broad administrative and litigative authority to eliminate discriminatory employment practices. All similar authorities of other agencies would be revoked and all Federal compliance authority would rest with the Board. As proposed, the Board's primary emphasis was to eliminate the patterns and practices of discrimination rather than resolving individual complaints. However, the proposal did include a mechanism for resolving complaints which entailed referring individual charges to approved State and local agencies. Complainants would then have a right of appeal to the Board, but the local agencies' findings would be given substantial weight on appeal.

Although this suggestion related only to complaints involving employment, it appears a similar approach could be taken to all such equal opportunity complaints. In a speech before the American Bar Association's National Institute on the Law of Equal Employment Opportunity and Discrimination in Institutions of Higher Education, Dr. Robben W. Fleming, President of the University of Michigan, made the following points: the multiplicity of forums has resulted from a hodgepodge of legislation; the various Government agencies involved have separate and distinct regulations; and because of the overlap in jurisdiction and resulting high case loads, the probability of enforcement is slight.

Dr. Fleming proposed a response to the problem: the law should be corrected to remove multiple forums and, in addition, incentives created to resolve complaints at the institutional level. To be more specific, local, neutral bodies should be created to hear complaints, and complainants should be required to exhaust these remedies before appealing to an agency or the courts. Likewise, as in the judicial appeals system, the agency would have authority to decline jurisdiction in cases it found to be properly resolved. Dr. Fleming noted such a plan might be opposed from all sides, each fearful of intrusions on its own turf. Significantly, the idea was favorably accepted by the Institute's participants with the apparent consensus that the present statutes have led to an overlap of authority and caseload so great as to be virtually unenforceable.

The problem of duplicative reporting and recordkeeping has also been examined by the Interagency Task Force on Higher Education Burden Reduction, convened under White House initiative in November, 1976. It agreed on the need to eliminate redundancy in enforcement of equal opportunity, civil rights, and affirmative action programs.

Specifically, the task force recommended that the President convene an appropriate group of knowledgeable persons from relevant agencies and representatives from selected colleges and universities to explore the problem and that they should be given adequate staff and other support to prepare, within 90 days, both a plan for the consolidation of equal opportunity reporting and the legislative changes necessary for its implementation. (See Appendix B.) At the same time the Task Force recommended that the Department of Labor, Office for Civil Rights (HEW), the Internal Revenue Service, the U.S. Commission on Civil Rights, the Justice Department, and the Equal Employment Opportunity Commission coordinate their enforcement activities through a Memorandum of Understanding.

The Commission finds the theory commendable, but doubts its effectiveness because previous memoranda of understanding between EEOC and the Department of Labor have been virtually ignored. Five of these agencies are members of the Equal Employment Opportunity Coordinating Council which has been working on revised employee selection guidelines since 1972. On November 23, 1976, proposed guidelines were published by three of the five participating agencies. The Equal Employment Opportunity Commission responded by republishing its previous regulations which had gone into effect in 1970. Due to the advisory nature of its responsibility, the Civil Rights Commission published nothing.

The Commission believes consistency could be achieved through a single agency under which complaints are resolved at the lowest possible level and coordination is provided between State and Federal enforcement. For instance, regulations should allow for disposition of complaints at the institutional level by a neutral third party and provide for appeal, but give appellate levels the right to decline jurisdiction if they find no basis for it on either procedural or factual grounds. The rules should be the same in initial hearings and appellate procedures, to eliminate re-hearing the same complaint in similar, but different, contexts under different sets of regulations.

> *Recommendation No. 21*
>
> *The President should issue an executive order and propose legislative changes, if required, to designate a single cognizant agency for equal opportunity and civil rights recordkeeping, reporting, and compliance in the field of education.*

Recommendation No. 22

The President should form an appropriate group of knowledgeable persons, including advocacy groups, to contribute in the development of the cognizant agency, along the lines of the recommendation of the Interagency Task Force on Higher Education Burden Reduction.

Recommendation No. 23

The administrative procedures of any single cognizant agency for equal opportunity and civil rights in education should allow for resolution of complaints at the lowest possible level and provide for coordination of Federal and State enforcement efforts.

In addition to pervasive problems of overlapping jurisdictions and duplicative requirements examined in the preceding pages, the Commission reviewed also three specific problems that reached it through its hearings and correspondence from Congress and respondents. These problems dealt primarily with insufficient lead time in the announcement of compliance surveys and in changing and inconsistent definitions of racial/ethnic categories.

The Emergency School Aid Act

The Application for Local Education Agency Grants Under the Emergency School Aid Act (OE Form 116-1) required minority enrollment data which was not reported according to standard Government racial/ethnic categories. Thus, the approximately 2,000 local education agencies which request these grants annually cannot use the same data collected and furnished to other Government programs. Instead, they must collect it again in a slightly different form.

The Emergency School Aid Act (ESAA) was enacted in 1972 to provide local education agencies financial assistance to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; encourage the voluntary elimination, reduction or prevention of minority group isolation in schools with substantial proportions of minority group students; and aid school children in overcoming the educational disadvantages of minority group isolation. The grant application required analysis of student enrollment using the following classifications: Negro, American Indian, Spanish-surnamed, Oriental, Portuguese, Alaskan Native, Hawaiian Native, Other Minority, and Non-Minority.

Local education agencies were already required by OCR to maintain enrollment data according to the format employed in the Elementary and Secondary School Civil Rights Survey, which was mandated by Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and Section 504 of the Rehabilitation Act of 1973. That survey relies on a set of five standard racial ethnic categories developed for Government-wide use in compliance, administrative and statistical reporting.[6] Specifically, those categories are: American Indian or Alaskan Native; Asian or Pacific Islander; Black, not of Hsipanic Origin; Hispanic; and White, not of Hispanic Origin. Likewise, the faculty information required by the ESAA grant application did not correspond to these standard racial and ethnic categories by which elementary and secondary schools were also required to report faculty and staff information to EEOC.

Because the ESAA application did not use standard racial/ethnic categories, applicants had to gather other information before applying for emergency assistance. For example, although a school district regularly gathers enrollment data according to OCR's requirements, the same enrollment data must be compiled again according to similar, yet different, categories and submitted with the ESAA application. Thus, the local education agency was required to provide similar information in slightly different forms to two offices within HEW. The effort required and cost of collection were roughly twice what they would be if both offices collected the data using the standard classifications.

Preliminary discussions with ESAA staff indicated that the ESAA application for school year 1978-79 could be changed so the application's minority group classifications corresponded to the standard racial/ethnic classifications used by OCR and EEOC. In addition, ESAA officials advised that such a change in classifications would not affect the distribution of funds.

Recommendation No. 24

The Commission on Federal Paperwork, noting the establishment of standard racial/ethnic designations to be used by all agencies for compliance, administrative, and statistical reporting, recommends to the Secretary of Health, Education and Welfare that these standard categories be used in applications submitted to the U. S. Office of Education for Local Education Grants under the Emergency School Aid Act.

The Elementary and Secondary School Civil Rights Survey (OS/CR 101-102)

Local Education Agencies (LEAs) and State Education Agencies (SEAs), through CCSSO, have requested since 1973 that formats for data collection from schools and States be announced at least nine months prior to the start of a school year. OCR conducts two surveys of LEAs and SEAs: the School System Summary Report (OS/CR 101), and the Individual School Campus Report (OS/CR 102). Neither survey was provided to all respondents until the start of the school year or later in 1974, 1975, and 1976.

LEAs and SEAs normally plan their annual data collection activities by the January preceding the start of a school year. When data collection formats containing new or expanded data elements are announced after a school year begins, schools and States are forced to search their records manually for the data, an expensive and duplicative process. OCR acknowledged in its memoranda announcing the 1976 surveys to SEAs and to LEAs that "much new information," some of it retrospective to 1975, was being requested. Commission consultation with OCR, CEIS, and OMB during a semi-annual meeting of CEIS in October, 1976, indicated an interest by all parties that the nine-month lead time problem be resolved for 1977 and future years.

Forms OS/CR 101 and 102 are compliance reports required originally under Title VI of the Civil Rights Act of 1974 and subsequently also by Title IX of the Education Amendments of 1972 and by Section 504 of the Rehabilitation Act of 1973. They provide important information for the implementation of recognized national policy. OCR began these surveys in 1968 to collect racial and ethnic information in order to combat discrimination. Statutory changes in 1972 and 1973 required the addition of questions on sex and on handicapping conditions.

The School System Summary Report (OS/CR 101), which was distributed in December, 1976, to 16,000 school districts receiving Federal assistance, required new data on enrollment in vocational education, discipline actions, students whose home language is other than English, and enrollment in bilingual or English-as-a-Second Language programs.

The Individual School Campus Report (OS/CR 102) was distributed in December, 1976, to 3,500 school districts containing approximately 40,000 schools. It required data on pupils transported at public expense, numbers of vocational education programs, high school diplomas in previous years, and information on student discipline, special education and pupil classroom assignments for a sample of classes.

These were expanded requirements from previous years. Especially burdensome in 1976 because of lack of sufficient lead-time in announcing the format for data collection were reports for the prior school year on pupils suspended, receiving corporal punishment and/or referred for disciplinary action to courts or juvenile authorities.

OCR had worked for almost one year in preparing the 1976 school survey forms and, that spring for the first time, conducted a pretest under contract. A draft copy of Report on the Pretest of the Office for Civil Rights Fall 1976 Survey Instruments showed average completion time to be 5.75 hours for Form 101 and six hours for Form 102. For the 16,000 school districts and 40,000 schools directly involved, the burden was estimated by the Commission to be 150,000 person-hours based on median completion time.

Because none of the 194 school districts with enrollments of 25,000 students or more were field tested, the total burden would undoubtedly have been higher if they were included. The Commission consulted two large districts which indicated their response burden would range from 24 to 32 hours. The report on the pretest reflected the need for lead-time and suggested a nine-month period.

On October 5, 1976, OMB withheld approval of these two forms, citing as reasons the timing of the proposed request, the request for retrospective data, and target-sampling prior to collection of screening information. On October 20, OMB cleared the forms but stated again its concern about requests for retrospective data, particularly when schools had been required to keep records to respond to different formats. A special condition of final clearance was the requirement that OCR include language in its notices to schools and States indicating that, if some schools demonstrated they did not have responsive information available, OCR would discuss alternate data responses.

In a three-page memorandum to LEAs and SEAs late in the fall of 1976 announcing its 1976-77 Survey, OCR concluded with four lines saying it would conduct surveys biennially in the future. OCR said schools would be required to maintain similar (emphasis added) records for non-survey years.

In response to annual widespread complaints concerning the collection of all education data, including civil rights information, the Congress, aided by Congressional members of the Commission, provided statutory language for the Education Amendments of 1976, enacted on October 12, 1976. This language, discussed in the following chapter, requires coordination of the collection of information and data acquisition activities for the Education Division of HEW and OCR.

Recommendation No. 25

The Office for Civil Rights of the Department of Health, Education, and Welfare should announce clearly by January, 1977, whether the Civil Rights Survey (OS/CR 101 and 102) data requirements for recordkeeping in 1977 are to be identical to and no more than those required in the survey year of 1976, subject to legislative or judicial changes.

Recommendation No. 26

The Secretary of Health, Education and Welfare should direct the Education Data Acquisition Council to require clearance of Forms OS/CR 101 and 102 for the 1978-79 biennium in sufficient time to enable announcement of 1978 survey data items by January 1, 1978.

These recommendations were adopted by the Commission December 3, 1976. The Secretary's response, on January 19, 1977, indicated agreement on the need to provide sufficient lead time and stated that the Director of OCR intends to ensure that school officials "be informed of the specific data requirements well in advance of the due dates" in future years. The response added that a January, 1977, announcement of the recordkeeping requirements would not be possible, but that a decision would be reached no later than March 31.

With respect to Recommendation No. 26, the Secretary's letter stated that the OCR "will start to plan for the 1978-79 biennial survey in the near future, and it should be possible to make an announcement as to its contents by the date you suggest, subject to legislative or judicial developments."

HEGIS

Two revised report forms instituted in 1976 by NCES would have brought about an acute increase in paperwork for 3,000 institutions of higher education. These forms, for the Higher Education General Information Survey (HEGIS), were announced too late for the institutions to produce the newly required information in a timely manner, and completion would have required a hand-search of records. The problems arising from the new HEGIS report forms had been delineated in a letter to the Secretary of HEW by the New York State Commissioner of Education; hearing testimony; letters to the Commission on Federal Paperwork; and media exposure of the financial pressures on higher education caused by increasing paperwork burdens.

NCES, the data collection agency of the Education Division, planned to send two substantially revised HEGIS forms to colleges and universities. The first form, DEGREES AND OTHER FORMAL AWARDS CONFERRED BETWEEN JULY 1, 1975 and JUNE 30, 1976 (OE Form 2300-2.1, 3/76), was due to be returned by August 15, 1976. This report called for a new format for reporting the distribution of degrees earned in the various fields of study.

The second form, FALL ENROLLMENT AND COMPLIANCE REPORT OF INSTITUTIONS OF HIGHER EDUCATION, 1976 (OE Form 2300-2.3, 3/76), was a combination of the HEGIS Fall Enrollment Survey, the annual report of all enrollment figures, and an Office for Civil Rights Compliance Report. The combined Fall Enrollment Report was due to be returned by December, 1976. The substantial revisions from previous surveys required a new data acquisition format for five racial/ethnic and one nonresident alien category by ten individual major fields of study and by classifications expanded to include part-time students.

Colleges and universities gather student information by school years, with the gathering usually done at registration and commencement. Once decisions have been made and forms prepared for the collection of information, it is time-consuming and expensive to acquire additional information before the next annual cycle. The acquisition of this information creates a paperwork burden for the institution.

The 1976 summer graduation had already taken place when the change in information requirements in the Degrees Conferred Report was announced. A hand-search of graduation records was required to provide information which formerly had been collected without records search, if the institutions were to comply with the new HEGIS request.

On June 24, 1976, the Commission made three recommendations to the Secretary of HEW with respect to HEGIS, under which colleges and universities provide annual statistical data. These were:

Recommendation No. 27

A one-year moratorium on changes in the form on which racial/ethnic categories are reported by major fields of study. The Commission suggested that the earlier form used by the Office for Civil Rights remain in effect until such time as the institutions could prepare in advance to gather the data.

Recommendation No. 28

Full consultation with the higher education community before revised forms are used in future surveys.

Recommendation No. 29

The distribution of HEGIS forms to the responding institutions by December of the year prior to their intended completion.

The Secretary's response cited difficulties in accepting the first recommendation. The earlier form used by the Office for Civil Rights could not be retained because the racial/ethnic categories prescribed for standard Federal use had been changed. Furthermore, the urgent demand for the data made a moratorium unfeasible. The letter stated that the second and third recommendations could be implemented and that efforts to implement them had already begun.

Suggestions for HEGIS. The HEGIS series conducted by NCES involves up to eight additional surveys in addition to the two discussed above. These call for data on institutional characteristics, staff, finances, physical facilities, libraries and students. A task force of the NACUBO paperwork committee, with Commission consultation, examined these surveys and identified many instances of insufficient lead time, changing formats, too frequent collection, absence of sampling techniques, and late feedback of results.

This task force suggested that two surveys be conducted annually, Institutional Characteristics and Opening Fall Enrollment, with racial/ethnic data in the latter form collected every two or three years. Two other surveys were recommended for less frequent collection: Degrees and Other Formal Awards Conferred, biennially, and Upper Division Post Baccalaureate Enrollment by Degree Field, every three or four years, using a sample of institutions. In all instances collection forms sould be provided at least nine months in advance.

To help meet the problem of late feedback, where publications arrive three or four years after collection of data, the task force urged NCES to provide data tapes for early use by researchers and to utilize a check-off system at the time of collection so institutions can indicate whether publications are desired. The Commission acknowledges that NCES has begun to consider some of these suggested changes and supports these efforts.

FOOTNOTES

Section IV

1. 347 U.S. 483, 74 S. Ct. 686, 98 L Ed. 873 (1954).

2. In *DeFunis* v. *Odegaard*, 82 Wn 2d 11, 507 P. 2d 1169 (1973), the Washington Supreme Court upheld the concept, while in *Bakke* v. *Board of Regents, University of California*, 18 Cal a 3d 34 (1976), the California Supreme Court found that such special programs offend the Equal Protection Clause of the Fourteenth Amendment. This Case is to be considered by the Supreme Court in its 1977 term.

3. U.S. Department of Commerce, Bureau of the Census, *Statistical Abstract of the United States, 1975* (Washington, D.C.: Government Printing Office, 1975), p. 110.

4. 391 F. Supp. 269 (1975).

5. U.S. Commission on Civil Rights, *The Federal Civil Rights Envorcement Effort -- 1974, Vol. V: To Eliminate Employment Discrimination* (Washington, D.C.: 1975), p. 649.

6. Staff of the Office of Management and Budget's Statistical Policy Division have worked with representatives of the General Accounting Office and various Federal executive agencies (HEW, Labor, HUD, Justice, Census, and EEOC) to establish, test and promulgate a set of standard categories for the reporting of racial and ethnic data. In August, 1976, they obtained agreement from the affected agencies on a standard set of racial and ethnic categories to be used for compliance, administrative and statistical reporting.

V. MANAGEMENT CONTROLS

In the three preceding sections, specific problems were described and immediate steps recommended for their solution. This section discusses management techniques to resolve entire groups of paperwork problems, including the need to coordinate education data collection, utilize standard terminology, and provide an automated index of data elements. The section also discusses agency responsibility for data collection and use, Congress as an influence in the creation and control of paperwork, and the role of respondent education groups.

Coordinating Data Collection

Essential to the management and control of paperwork is closer coordination of the collection of education data by Federal, State, and local governments. Responsibility for education data collection is highly decentralized. The National Center for Education Statistics (NCES) has the primary responsibility in the Education Division of HEW for the collection of general purpose statistics and the adjunct responsibility for reporting on the condition of education in the United States.

Substantial portions of education data collection through the Federal system are gathered also by OE, which has primary responsibility in the Education Division for accumulating information on the administration and impact of Federally supported programs. Responsibility for the collection of specific program data is spread throughout the various components of OE, including the Bureau of School Systems, the Bureau of Education for the Handicapped, the Bureau of Postsecondary Education and the Bureau of Occupational and Adult Education. The Office of Planning, Budgeting and Evaluation within OE collects and analyzes information required to evaluate the effectiveness of specific Federal education initiatives and, in addition, performs an annual analysis to produce a comprehensive evaluation of Federally supported education programs.

The National Institute of Education (NIE), another major component of the Education Division, collects and analyzes data concerning the development, testing and implementation of new educational techniques, services and delivery mechanisms. In addition, NIE shares the responsibility for meeting the requirements of certain Congressionally mandated studies.

Other HEW agencies affecting the education system gather and use data to measure the impact and effectiveness of activities under their purview. These programs include regulatory activities such as those of OCR, which are designed to insure equal access to educational services, and grant programs which provide funds for the delivery of specific services to students such as HEW's Headstart program directed by the Office for Child Development.

Recognizing the need for coordinating the collection of education data, the Assistant Secretary for Education chartered the Education Data Acquisition Council (EDAC) in 1975 to prepare the Education Divisions's Annual Data Acquisition Plan. EDAC has established criteria for evaluating data requests and has implemented clearance procedures for the Education Division. This preliminary clearance effort has been beneficial both to OMB in its final clearance review and to respondent groups, since it allows checking for duplication and use of common definitions. But it serves primarily as an overall planning mechanism only for the Education Division data collection.

The only attempt to coordinate education data collection prior to 1975 was made by NCES through the establishment of a close working relationship with the Council of Chief State School Officers and its working arm, the Committee on Evaluation and Information Systems (CEIS). CEIS has been working for several years with NCES and other Federal agencies to formalize a process for review of Federal data request from the respondent's point of view. The emphasis by EDAC and NCES has been directed until recently to the elementary/secondary school level, but NCES, recognizing the importance of this review effort, has now extended this process to the postsecondary education level through liaison with the State Higher Education Executive Officers.

Congress also recognized the need for coordination in order to eliminate the excessive detail and unnecessary or redundant information requests by enacting the Control of Paperwork Amendment (Sec. 406 (g)) as a part of the Education Amendments of 1976 (P.L. 94-482). This statute provides that the Secretary of HEW and the Assistant Secretary for Education shall coordinate the collection of information and data acquisition activities of the Education Division and OCR. The review and coordination procedures are to be directed by the Administrator of NCES. The statute covers only the Education Division and OCR.

Certain general education data are gathered by agencies outside the Education Division of HEW. These include the collections of elementary/secondary school systems' financial statistics by the Bureau of Census; information concerning school breakfast and lunch programs by the Department of Agriculture; student data by the Bureau of Indian Affairs, Department of the Interior; information for certification of programs by the Veterans' Administration; education data regarding programs sponsored by the Department of Defense; data on students and teachers, particularly in the scientific and engineering fields, by the National Science Foundation; information on education manpower by the Bureau of Labor Statistics; and data on intelligence and achievement of children in the Health and Nutrition Examination Survey conducted by the National Center for Statistics.

There may be other Federal agencies which collect or plan to request information from the education community. All agencies, with the exception of the independent Federal regulatory agencies, would be included in the recommendations contained in this section. Forms clearance for the independent Federal regulatory agencies is a responsibility of the General Accounting Office, rather than OMB, under the Federal Reports Act as amended. These agencies, however, rarely have a direct effect on education.

Established EDAC procedures will provide a significant step toward central coordination of data collection in the Education Division and OCR. The other agencies requesting data from education respondents, however, are not required to use EDAC as a clearinghouse for education data collection. Despite the attention given to unnecessary, redundant collection, the Control of Paperwork Amendment is not broad enough to encompass the coordination of education data collection outside the Education Division and OCR.

Data collection activities that cut across Federal agencies often lack the necessary coordination to alleviate redundancy which generates unnecessary paperwork. The redundancy presently stems from the lack of comparability in data elements and definitions. It is important to be able to review or monitor all educational data collection in light of each agency's needs and to systematize the process to insure comparability by using standard methods and definitions. The utilization of information would be enhanced through coordination by making it useful to more than one agency. Comparability and compatibility would also allow the development of more comprehensive statistical profiles. The fragmentation of present data collection practices contributes to the lack of accurate, readily accessible, educational information needed by policy makers.

The importance of establishing a central clearinghouse in Federal education data collection has not only been supported by Congress in the Education Amendments of 1976, but also by respondent groups. In November, 1974, the Council of Chief State School Officers urged HEW to centralize the collection of all education data by Federal Government. A similar recommendation was approved during the 12th Annual Postsecondary Seminar in 1976. The importance of establishing a clearinghouse for data gathering was also supported in one of the four major recommendations in a 1976 report to HEW prepared by a panel of the National Research Council of the National Academy of Sciences. There is considerable support from all facets of the education community for the concept of a single unit for coordination of education data production activities.

The dollar savings achieved by eliminating redundancy or by utilizing generally acceptable methods and definitions, which in turn will improve both comparability and usefulness, should be a significant step in minimizing data collection costs. The measure of the cost saving that may occur as a result of timely and accurate information being available for the determination of national education policies would depend upon future information needs and policy decisions, both of which are difficult to predict. The importance of having accurate information available during the development of legislation and national policy cannot be underestimated.

Implementation of this recommendation will require a minimum outlay of resources and only a minor change in present procedures. It is an additional but necessary step that will result in sound organizational management of data production.

The Statistical Policy Division of OMB has the authority under the Federal Reports Act to establish guidelines for forms clearance procedures and, under the Budget and Accounting Procedures Act, to develop programs and issue regulations and orders for the improved gathering, compiling, analyzing, publishing, and dissemination of statistical information.

Recommendation No. 30

> *The Office of Management and Budget should provide for Federal coordination of education data production by requiring, in its forms clearance procedure, that all request from any Federal agency for data from education respondents be coordinated through the HEW Assistant Secretary for Education prior to OMB clearance.*

This recommendation was adopted by the Commission on February 25, 1977. In response, the Director of OMB replied to the Commission on March 28, 1977 that the general strategy holds great promise. He said EDAC is presently implementing the Control of Paperwork Amendment to include coordination and review of OCR education data collections. If EDAC is judged subsequently to be a viable mechanism, he stated OMB would advise the Secretary of HEW to coordinate education data activities for the entire Department, and depending on the outcome of that effort, OMB would consider extending coordination to all Federal departments.

Standardizing Terminology

Equally important to coordination of collection mentioned above is the standardization of terminology, which will increase efficiency, comparability and multiple uses of data. Generally accepted definitions of education terms must be established and monitored to assure understanding and a language for communication.

This the second step in developing procedures and processes that will assist in reducing burden and improving education data production. A third step, suggested later, would provide for indexing as a procedure that will enhance the overall efficiency of data collection.

There are currently more than 16,000 elementary and secondary school districts and over 2,700 institutions of higher education in the United States. There are also many organizations and institutions with specialized training and instructional programs. All these institutions and organizations have many data elements in common. There is a common core of elements for institutions that have instruction as their central purpose, and much decision-making involves similar information. For data from different sources to be organized and compared, there must be some standardization of data collection. The standardization should include terms used, the definitions of those terms, classification systems, and units of measure. This is particularly critical if data and information from different sources are to be shared or compared.

The need for standardization can be illustrated by the example of establishing a cost per elementary or secondary student which requires a unit of measure for cost and a unit of measure for a student. For purposes of this illustration, only variations of the student unit measure will be examined. The alternatives would include:

- Membership (number of students on the current roll of a class or school for a given date or period of time, reflecting entries and withdrawals).
- Average daily membership (the average number in membership during a given period of time).
- Average daily attendance (the average number of days of actual attendance by members).
- Enrollment (the number enrolled during a certain period of time, disregarding withdrawals).

Even in the third example, the definition of day of attendance may vary not only from State to State, but also could vary from local district to local district. For instance, when an excused absence is counted as a day of attendance in some schools or States and not in others, an inflated figure is derived. These inflated figures then influence funding allotments which are based in part on average daily attendance, as under Title I of the Elementary and Secondary Education Act.

NCES has made available a set of handbooks of standardized terminology. These handbooks, which are revised periodically, deal primarily with general information related to education and stress standardized terms and definitions. Another NCES project, the Common-Core-of-Data (CCD) program, has been designed to facilitate the providing of information needed on a recurring basis. NCES indicates in its publication Projects, Products and Services of NCES, 1976 that "National data-collection efforts in education continue to be seriously restricted by delays in reporting, missing data, nonresponse, and ambiguous information which results inevitably and directly from lack of standardization in educational data elements, recordkeeping, definitions, reporting procedures, and educational practices."

The two major functions of CCD are to develop a basic set of data based on common definitions and standards describing elementary-secondary and postsecondary education and to give technical assistance to State and local education agencies to improve data gathering activities. There has been support for the handbook series and the CCD concept from the 1976 Postsecondary Education Seminar in one of its summary recommendations and by CCSSO in a resolution passed in June, 1973.

Although NCES is making a concerted effort to promote the utilization of a set of handbooks as reference manuals for establishing terms and definitions to be used in education data collection activities, including the CCD project, all Federal agencies are not utilizing these common references or concepts.

> *Recommendation No. 31*
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> *The Assistant Secretary for Education should use, as a common reference for all terms and definitions used in education data collection, the set of handbooks prepared by the National Center for Education Statistics (NCES) for that purpose, and all forms submitted for clearance should be made to conform to those terms and definitions.*

Recommendation No. 32

The Assistant Secretary for Education should give high priority to the Common-Core-of-Data program developed by the NCES to facilitate meaningful, comprehensive, and integrated data collection systems.

These recommendations were adopted by the Commission on February 25, 1977. In response, the Assistant Secretary for Education replied to the Commission on April 1, 1977 that education data acquisition activities must conform to the NCES handbook terms and that Common-Core-of-Data has a high priority in the Education Division.

Indexing System

One of the primary tools important in utilizing large amounts of loosely related data is an automated system for indexing or cataloguing available data. An index system will provide a guide to point out or facilitate reference. At present, no index system is available at the Federal level to serve the education data community. Plans should be developed to implement an indexing system that will not only increase the utilization of available data, but also provide a necessary management tool to assist in reducing duplication.

Users of education data generally include Congress, the general public, Government agencies, education organizations, news media and business. Although possibly the greatest use of data is made by the collecting agency itself for program administration, there are approximately 1,000 other requests for education data each month to NCES alone. Additional requests may be directed to other collecting agencies.

Utilization of data can be enhanced if the user can establish relationships between variable data elements by means of an indexing system. For example, the cost of education and the performance of students of differing socio-economic backgrounds are variables whose relationship must be examined. When the variables come from separate sources, indexing should allow the user to determine if these relationships are currently available. Indexing may also indicate additional variables that are needed or relationships that are missing. Determination of need for additional data elements is most difficult in the absence of an automated index system.

Duplication is described consistently as a major factor in paperwork burden. Indexing should increase efficiencies in proposed data collection by locating duplicative efforts in advance. For example, where enrollment data are being collected through general statistics, the data should be shared with program monitors. This does not always happen and, as a result, the enrollment data is collected again and again in the program area. Although this example may be an oversimplification of the problem, it can become very complex given the number of agencies, organizations and program areas involved in collecting education data.

OMB presently has an inventory which lists forms by form number, number of responses, and number of person-hours necessary for completing the form. The OMB forms inventory is arranged by agency and type of information the forms will collect, such as application, program management, etc., but it does not list the individual data elements included on each form.

EDAC has developed an inventory system that lists forms by broad content area and respondent groups. The EDAC System was designed to analyze report forms in many different ways, but it does not presently include the listing of each individual data element contained on the data collection forms. There are plans to develop an automated indexing function in the EDAC system. An automated system would facilitate the detection of duplication and the identification of the agency that had already collected the same data.

The use of such a system must be extended to include those agencies that do not presently fall under the EDAC purview. The coordination of education data, recommended above, would serve to make the indexing procedure much more comprehensive than would otherwide be possible. Indexing would then be one of the coordinating functions performed by EDAC in its role as coordinator of education data collection.

> *Recommendation No. 33*
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> *The Assistant Secretary for Education should further the implementation of the Education Division's data acquisition system by including in it an automated indexing system for cataloguing available data. This indexing function should extend to all agencies that collect education data, and adequate funding for this purpose should be requested.*

This recommendation was adopted by the Commission on February 25, 1977. In response, the Assistant Secretary for Education replied to the Commission on April 1, 1977 that the Education Division included in its Fiscal Year 1977 Supplemental budget request the funds to develop an automated indexing system.

Reducing Burden

The first partial coordination of education data collection and use is located in HEW's Education Division under the Assistant Secretary for Education and is directed by the Administrator of NCES. Representatives of each of the four agencies comprising the Division serve on committees which review data acquisition requests directed to elementary and secondary education, postsecondary education, adult and vocational and career education, and the education of handicapped children. Those that are approved then become part of an annual data acquisition plan comprising approximately 400 data-gathering forms.

As this coordinating function developed in its first three years, it has been limited to data gathered by the Education Division. If Recommendation No. 30, above, is adopted, the overview function will expand to cut across all Federal agencies requiring OMB forms clearance for data collection from education respondents. Then, for the first time, a central source in the Education Division can maintain records on who is collecting what, from whom, and for what purpose.

The Education Division's annual data acquisition plan, when considered in conjunction with information from other Federal agencies, will contain the data submitted in applications for grants, program and management reports, surveys, questionnaires, recordkeeping requirements, and compliance reports. These data will provide information on subjects such as facilities, finance, enrollment, staff, and program, among others.

The objective of the Education Division should be to complete review of its forms in time to permit Federal Register publication, by the January preceding the start of the school year, of all plans to collect education data for that school year. This will provide the nine-months of lead time States and institutions require to build their data acquisition plans and collecting activities, as recommended in Section IV. The Education Division has not yet achieved this objective, one which would relieve considerably the reporting burden on education respondents.

Another potential contribution to the easing of paperwork burden would be in the reduction or elimination of duplication and redundancy. Respondents have complained about requirements to submit identical or similar data on may forms. Frequently NCES has already collected some of the data but has not been able to process it quickly enough to provide it to another agency in time to prevent a second collection of repetitive data.

Available data should be provided to permit--indeed, to require--program managers to collect only that information that has not already been gathered. Multiple uses of data in this way would benefit both agencies and respondents. It can be made possible by means of the automated index discussed in the Recommendation No. 33 and prompt processing of data as they are received.

> *Recommendation No. 34*
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> *The Assistant Secretary for Education should review all education data gathering instruments in the calendar year preceding collection and announce by the January preceding the start of the school year the data elements to be collected in September.*
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> *Recommendation No. 35*
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> *The Assistant Secretary for Education should develop the capacity of the Education Division to provide promptly, for multiple use by agencies, data already collected such as in surveys, applications, compliance reporting, management reporting, financial reporting and evaluation, and limit any further collections to those items not already in hand.*

The Assistant Secretary for Education is not empowered to require the adoption of a data announcement and collection cycle or the multiple uses of data by agencies outside the Education Division. The Commission believes the voluntary observance of these recommendations by other agencies would be equally efficient for them as well. Better data would be collected with a nine-month lead time, and the respondent burden would be lessened through elimination of much duplication.

Recommendation No. 36

The Office of Management and Budget should urge all agencies, when they collect data only from education respondents, to provide nine-months advance notice of collection and to share their data collections with the Education Division for multiple uses wherever possible.

The Role of Congress

A volume of over 700 pages was required, at the close of the 93rd Congress in 1974, to set forth the Federal education laws that had originated with the Senate Committee on Labor and Public Welfare and the House Committee on Education and Labor. A similar publication containing education legislation authorized by other committees would likely require an equal number of pages. A study by the Library of Congress identified 439 statutory authorities affecting postsecondary education alone. These authorities arose from the work of 18 of the 22 standing committees of the House and 16 of the 18 standing committees of the Senate.

Most laws affecting education require paperwork, both by those persons or institutions benefited or affected and by the agencies which issue the regulations and administer the programs. OE, a major administrator of education programs, has had more than a tenfold increase in the last five years in the number of documents it publishes annually in the Federal Register, from 32 in Fiscal Year 1972 to an estimated 368 in Fiscal Year 1977.

In addition to passing laws which result in programs requiring paperwork, Congress also mandates special studies and reports from HEW which in turn may require paperwork from education respondents. Thirty-four of these reports were required in the Education Amendments of 1972, 48 in the Education Amendments of 1974 and 34 in the Education Amendments of 1976. In that short span of time, required reports have become so numerous and have had such short completion time that the agencies could not meet the response deadline. The Education Amendments of 1976, for example, contained changes in completion dates that would not be met for at least 19 reports in the Education Amendments of 1974.

There are at least two causes of the short reporting deadlines in the case of the Education Amendments of 1974. First, the introduction of bills and their amendments in committees began early in the two-year tenure of that Congress. By the time the bill had cleared each House and the two bills had gone to conference for final agreement on a single bill, the Congress approached the end of its two-year period, and the reporting dates carried over from the original bills were no longer achievable. Second, in the instance of the preparation of the Education Amendments of 1974, Congress had changed the fiscal year starting date from July 1 to October 1, thus shortening the reporting time that had been based on the earlier date.

The Senate Committee on Human Resources and the House Committee on Education and Labor, originators of most purely educational legislation, have begun, however, in the last half dozen years to try to control and manage paperwork burdens created by education laws. Simultaneously, they have sought to improve the quality and manage the quantity of information and data necessary to assess programs and shape public policy. This is being done in sympathetic response to complaints from education respondents.

In the Education Amendments of 1972, for example, Congress mandated an analysis by the Commissioner of Education of all OE rules, regulations, guidelines, or other published interpretations or orders. The Commissioner was required to report to the education committees within one year on the specific legal authority of each section of each rule or regulation and to publish these rules or regulations in the Federal Register for comment no later than 60 days after the report. After a 60-day comment period by interested parties, the Commissioner was to report to the education committees any actions taken and then to republish all regulations or rules in final form.

The magnitude of the study of all rules and regulations ordered in the education Amendments of 1972, however, did not permit their completion in one year. OE thus began the task of studying the laws on a section-by-section basis. By early 1977, almost five years later, it had completed work on 49 sections and had published their regulations in the Federal Register. [1] Eight sections remained to be completed at that time but were in process and nearing completion.

In the Education Amendments of 1974, Congress took two further actions to control burdens on the public. First, it provided by law a 30-day comment period before the effective date of any standard, rule, regulation, or general requirement. Concurrent with publication in the Federal Register of rules or regulations, Congress required also their transmission to the two Houses to provide for disapproval by concurrent resolution within a 45-day period if Congress found them inconsistent with the laws. Thus far, the Congress has not taken such action of disapproval but it has held occasional hearings on some subjects of immediate concern.

Second, Congress established the National Center for Education Statistics in the office of the Assistant Secretary for Education to collect and disseminate statistics and other data related to education. It also made the NCES administrator's post an appointed position in the competitive service, not subject to political influence. These actions gave NCES independence from any other HEW agency, placed it in a leadership role, gave it more responsibility, and made it subject to direct consideration by the appropriations committees. These actions later became the basis for Congress' first education paperwork legislation.

In the Education Amendments of 1976, Congress for the first time specifically addressed the burdens of paperwork in passing the Control of Paperwork amendment, Sec. 406(g). It said that "in order to eliminate excessive detail and unnecessary or redundant information requests," the Secretary and Assistant Secretary for Education shall coordinate the collection of information and data acquisition activities of the Education

Division and the Office for Civil Rights. It required the Assistant Secretary for Education to provide staff to establish a procedure for the review of information collection and data acquisition under the direction of the Administrator of NCES.

Further, the Administrator was required to assist in this coordination by requiring each of the two agencies to provide a detailed justification of how information once collected will be used and an estimate of the man-hours required by each respondent to complete the requests. A public comment period prior to final OMB clearance was established also. And finally, Congress directed that the Assistant Secretary for Education make legislative recommendations necessary for meeting the objectives of the paperwork amendment.

In several other sections of the Education Amendments of 1976, such as Section 802(b)(4) on cooperative education, language on information gathering was changed from what the Commissioner "may reasonably require" to such data "as are essential." This represents another Congressional directive to hold reporting to minimal limits.

Despite these efforts, the net effect of enacting new education legislation every two years is an increase in number of forms to be completed and regulations to be observed. Congressional and agency policy makers are currently discussing additional data needs to be obtained from individuals as well as from institutions. They are interested in developing information about the general population, the noncollegiate sector, and about teacher supply and demand by specific areas and subjects, for example. All these demands for information will require carefully planned annual data acquisitions and multiple uses of information if respondents and agencies are to keep current in supplying them.

Congress could assist greatly in easing paperwork burdens on respondents by observing the need for adequate lead time between an agency's announcement of its intent to collect data and the actual time of collection. This could be achieved if the Congress would allow, in mandating specific completion dates for studies and reports, sufficient time for the agency announcement in January prior to collection in September and if, in the meantime, Congress would use available data until a new collection is made. Such a course would facilitate implementation of Recommendation No. 34.

There is precedent for suggesting Congressionally approved lead time for education. In the Study of the United States Office of Education by the House Special Subcommittee on Education in the Second Session of the 89th Congress, recommendations were made for a full year of adequate planning before newly authorized programs become fully operative and that appropriations be made no later than May 1. All education programs are now forward-funded by one year and the implementation of vocational education programs in the Education Amendments of 1976 are delayed for one year to permit agency planning.

Congress could also ease the burden of responding to certain proposed regulations, by providing timely hearings for the regulation-writers when the particular statute has little or no hearing record or other legislative history. Some recent examples would include Title IX on sex discrimination in the Education Amendments of 1972, the Family Educational Rights and Privacy Act of the Education Amendments of 1974, and Section 504 of the Rehabilitation Act of 1973. Such hearings could encompass either oversight or a concurrent resolution of disapproval under Section 431(d)(1) of the General Education Provisions Act. However a record of Congressional intent is established, agencies and respondents would benefit by the necessary clarification.

> *Recommendation No. 37*
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> *The education committees of Congress (i.e., the Senate Committee on Human Resources and the House Committee on Education and Labor) should review in every third Congress, beginning with the 95th Congress, the reports and studies they require of the Department of Health, Education, and Welfare in order to eliminate those no longer needed, consolidate those that can be combined, and make the remainder compatible with an overall plan for reporting.*
>
> *Recommendation No. 38*
>
> *The education committees of Congress should recognize January 1 as the latest date by which Federal agencies should announce the specific education data to be collected at the start of the following school year, to provide sufficient lead time for States and institutions to include such data in their annual acquisition plans.*

Recommendation No. 39

The education committees of Congress should hold hearings on proposed regulations or data-gathering forms that are developed from laws whenever agencies and respondents indicate a need for guidance in preparing or responding to the ensuing regulations or forms.

Respondent Participation

The Commission has observed the role and effectiveness of respondent groups both in ensuring the collection of sufficient and reliable data and in controlling the frequent desire for excessive amounts of data. We believe the need for adequate and accurate data is best met when originators of and respondents to data requests first consult on what is to be collected, from whom, and for what purpose.

The Control of Paperwork amendment cited earlier mandates a public comment period for all data-gathering forms of the Education Division when they are ready for final OMB clearance. Although the mandate establishes a check point near the end of the forms clearance procedures, earlier consultation with respondents in the preparation of forms would undoubtedly improve and expedite the final product. Such consultation could include field tests of forms and site visits by agency staffs, where possible, to evaluate respondent burden.

Among the better organized groups are the Council of Chief State School Officers (CCSSO), an independent organization of State superintendents and commissioners of education, and its

Committee on Evaluation and Information Systems (CEIS), formed in 1972 and comprised primarily of one coordinator from each State and from six other territorial jurisdictions. Another 100 or more State and local education agency staff persons assist in monitoring and reviewing Federal data reports.

CEIS is divided into committees on data acquisition, evaluation, and information systems development. These committees are divided further into task forces which concentrate on specific areas such as compliance reporting, food and nutrition services, vocational education, education of the handicapped, common core of data, standard terminology, and technical assistance. Results from these task force efforts can be shown in the example of school lunch paperwork cited in the first section. Through consultation with the Department of Agriculture, CEIS was able to achieve consolidation of three monthly report forms in one instance and two monthly reports in another, plus the provision for adequate lead time for both reports as well as others.

Representatives of the full committee and task forces meet at least twelve times per year to consult on data collection activities with agency staffs from the Education Division, OMB, Department of Agriculture, Census Bureau, Bureau of Labor Statistics, Equal Employment Opportunity Commission, Office for Civil Rights, National Science Foundation and many others. Extensive records are maintained on each Federal form reviewed, including the names of Federal Staff persons with whom CEIS meets by schedule and consults by telephone or letter between meetings. These records show actions in 1976 to provide lead time for school civil rights surveys, justification of data items in a bilingual survey of teacher's language skills, and the combining of a study of English language proficiency with a pupil survey of family income and education, among at least three dozen other forms where agreements for collection were achieved or continue under discussion until agreements can be reached.

These efforts to improve data collection and utilization at the elementary and secondary levels are in part supported financially by NCES. Late in 1976, this program of financial assistance was expanded to include a representative organization in postsecondary education when NCES contracted with the State Higher Education Executive Officers (SHEEO) to establish a similar program of cooperation and planning in data collection and use. One purpose of support for SHEEO was the creation of a communication network among all States which would become the basis for exchanging postsecondary education data between and among States and the Federal Government.

Traditional higher education has functioned very well over the decades as a respondent group under the auspices of the American Council on Education (ACE), an umbrella organization. Staffs of major college and university membership groups which comprise ACE have met regularly for almost 20 years to review pending legislation, proposed regulations, and data requests. These institutional membership groups include:

- National Association of College and University Business Officers (NACUBO),
- Association of American Universities,
- National Association of State Universities and Land-Grant Colleges,
- American Association of State Colleges and Universities,
- American Association of Community and Junior Colleges,
- National Association of Independent Colleges and Universities, and the
- Association of Jesuit Colleges and Universities.

These meetings, held at least weekly in recent years, have been expanded to include a variety of specialized associations in order to provide specific expertise on particular subjects. All these membership organizations, sometimes through a lead association, comment on most data-gathering requests and proposed regulations and provide daily consultation to appropriate Federal agencies and the Congress.

ACE provides additional overall leadership for higher education in a variety of ways. It recently arranged a series of meetings, including one with the President, to meet the new Administration and to discuss general problems facing education. It also assigned responsibility to NACUBO to monitor paperwork concerns in behalf of higher education. The NACUBO paperwork committee, mentioned earlier in this report, will continue to support implementation of Commission recommendations after this report is issued.

A list of the various forms, proposed regulations, and other instances where these higher education associations have acted in cooperation with Federal agencies to reduce paperwork burdens would be lengthy. Three notable examples include regulations covering the Family Educational Rights and Privacy Act of 1974; regulations implementing Title IX of the Education Amendments of 1972; and the shaping of Form EEO-6, which is used by colleges and universities to report statistics of their employees by minority group, sex, job category, and salary range. These organizations also regularly consult with NCES on the annual Higher Education General Information Survey, with the National Science Foundation on its various surveys, and with other agencies.

Respondent groups cited in this report, and all such advisory groups, can play a unique role. Because committees of Congress, agencies of the Federal Government, and the States and their education institutions work independently of one another for the most part, these advisory groups can help improve decisions, the Commission believes, by providing the necessary communication links between and among these committees, agencies, and States.

The Commission believes further that while the Congress and the Executive Branch on their parts are committed to eliminating unnecessary paperwork burdens, respondent groups must share equally in the responsibility to reduce excessive paperwork while simultaneously providing better information.

Recommendation No. 40

Federal agencies planning to gather data from educational institutions or State or local education agencies should consult these groups and/or their associations before making decisions on either the scope or the form of the requirement.

Recommendation No. 41

Education respondent groups should provide consultation and comment to Congress and to the agencies when consulted in advance and when notices are published in the Federal Register concerning data collection or rulemaking.

FOOTNOTES

1/ Conversation with staff of the House Committee on Education and Labor, March, 1977

APPENDIX G

REPORT OF THE
INTERAGENCY TASK FORCE ON
HIGHER EDUCATION BURDEN REDUCTION

December 14, 1976

INTRODUCTION

The Federal Government and colleges and universities have in recent decades entered into a remark[illegible]rship, building the world's greatest capability for scholarship, advanced education and the application of fundamental knowledge to the pressing problems of our society. The Government played a leading role in recognizing the unique resources represented in our higher education institutions, but has turned in the last 20 years toward offering support for those programs and incentives which further national objectives directly. This growth of categorical aid to universities and colleges has brought with it the expected controls born of the need for stewardship in the use of these Federal monies. Many institutions are critically dependent on this Federal support. As wave after wave of regulations, surveys, and compliance activities have hit, they have until recently endured with suffering and silence, while resources made scarce by shrinking dollars have been diverted to administrative and accountability functions.

In the last few years, however, there has been a rising level of consciousness, an awareness by the institutions that unless a wider perspective can replace the individualistic motivations of those in Federal agencies who, by themselves, define the need for data and detailed accountability, this special partnership between Government and the institutions will be ruined. It is even now severely strained.

In his opening remarks to this Interagency Task Force on Higher Education Burden Reduction, Dr. Mathews, Secretary of Health, Education, and Welfare, said:

> "The strength behind that protest is considerable, determined and permanent. It is an idea whose time has come.
>
> At this point, you have control of how the needed changes will come about. They can come about with some deliberation on the part of people who are invested with the responsibility or they can come about more precipitously with less thought. I am fully convinced that it is in your interest and the interest of your agencies to make some accommodation to the petition of the institutions of higher learning and post-secondary education in this country. I think it serves your purpose and their purposes as well."

The Interagency Task Force brought together, under White House initiative, 28 people from 15 agencies to: assess the problem; evaluate a set of recommendations[1] made by a group of college and university experts on Federal paperwork and reporting burdens; and propose specific steps which would have the greatest effect on the reporting and recordkeeping burdens of the institutions.

1/ Report of the Secretary's Work Group for Consolidation and Simplification of Federal Reporting Requirements for Institutions of Higher Education, HEW, October 15, 1975.

The charge was to have an impact, and promptly. This established the scope for the work of the Task Force. The resultant recommendations below concentrate on relatively immediate steps which would considerably lessen the tensions between academia and the Government and relieve much of the workload that falls on the institutions and Government alike.

RECOMMENDATIONS

1. At present there is no single directory or index to Federal data gathering programs affecting higher education institutions which can be used by the agencies or the various forms clearance offices to identify sources of data, technical survey design expertise, or duplication. The Task Force recommends that the Statistical Policy Division, Office of Management and Budget, should develop such an index, with entries made at the earliest notice from the agencies of plans to collect data and updated as each form is revised or new forms added. This fully-developed capability might involve a computerized information system which could be tapped by remote terminal permitting a search by topic, by data element, and by agency. Periodically it would be possible to produce from this data base a directory of forms being used with higher education institutions, making available a data source reference for use by those seeking data about higher education institutions.

2. The Task Force believes that the data acquisition plan of the Education Division of HEW is an important tool for planning and evaluating information needs and resources. This plan identifies the data gathering activities to be undertaken in the following fiscal year. Those which are approved are the only data acquisition activities which can be mounted that year. The Task Force recommends that all Federal agencies develop data acquisition plans.

3. The Task Force does not find that control of the paperwork dilemma can be gained simply by demanding that agencies meet even more stringent and detailed documentation requirements for the approval of forms than now exist. Many forms designed to collect survey data and to satisfy administrative recordkeeping requirements are well designed, and reflect excellent conceptual, technical, and consultative efforts. Requiring in all cases that forms clearance be subject to extensive clearance documentation discourages the responsible approaches to information collection which should be encouraged. Increased internal paperwork within government can be as needlessly burdensome as it is at colleges and universities.

The Task Force therefore recommends that OMB revise its forms clearance procedures by requiring a notice to OMB of the intention to originate or renew a form. OMB would then assign the form to one of two clearance tracks, using stratified random sampling method. However, controversial or particularly burdensome forms could be assigned to the second track with certainty. The smaller set of forms in the "audit" track would require the full and extensive package of documentation called for in the current OMB instructions for Form 83 and elsewhere in the Task Force report. Intensive OMB review of forms clearance packages in the second track on the described sample basis should provide sufficient basis for an assessment of the agency's capacity to produce optimal information gathering instruments and complete justifications.

In subsequent cycles, agencies with demonstrated success in previous audits should continue to have their work examined on the modified random basis described above. Failure to satisfy the justification and documentation requirements of the Federal Reports Act and related regulations and OMB circulars shall be taken as prima facie evidence of an agency or division's inability to control unnecessary, uneconomical, ineffective, or burdensome reporting requirements. OMB would then audit in succeeding years a much larger portion of clearance packages only from those offices which fail the initial audit.

4. The Task Force recommends that higher education institutions and their representative organizations should serve as experts on the design, feasibility, necessity, and appropriateness of statistical surveys of such institutions. This consultation should be sought by survey sponsors early in the planning process, before data formats and definitions are nearly finalized. Although such consultation would be also available to the Clearance Offices of OMB and GAO, its greater value will be in the development and evaluation phases of survey planning by the agencies.

5. Although there are three basic measures used by OMB to measure Federal reporting requirements (number of reporting forms, number of respondents, and amount of time required to

complete the reports), identifying the level of burden requires the accurate estimation of all three measures. The Task Force review of selected clearance packages and analysis of reporting procedures showed that amount of time required is unlikely to be known accurately by the agencies or OMB.

Most forms require for their completion the cooperation of many offices at colleges and universities, and the number of respondents is a variable multiple of the number of institutions filing the report. The understatement of number of respondents would not itself be a serious problem if the number of person-hours required to complete the forms were actually known. The usual agency practice of estimating average person-hours in almost every case ignores the range of effort across institutions and the fact that the burden is knowable and need not be guessed at by agencies in Washington.

The Task Force recommends that for all forms a sample of respondent institutions be asked to report estimates of marginal person-hours that are necessary to complete the form. This estimate should be given in two categories: (1) the time required for reporting the information after it has been assembled; and (2) the time expended in collecting and assembling the information if it is not already available.

Agencies should design the samples so that good empirical estimates of the distribution of burden can be derived for institutions of different size and type of control. These estimates should be used in weighing the need for the information against its burden to the respondents.

6. Complaints of response burden are frequently to be found at the institution level but less recognized at the agency level. In order to better evaluate the burden of Federal forms, the Task Force recommends that agencies maintain comment and complaint files on a form-by-form basis and use them in forms redesign and in interpretating the data obtained.

7. The Task Force finds ample evidence that the current practices of planning surveys and pretests, and the current statutory requirement of formal clearance of all

surveys addressed to more than nine respondents, are insufficient to minimize the reporting burdens. The Task Force recommends comprehensive pretesting by the form and survey sponsors at a representative group of institutons prior to submission to OMB or GAO for final clearance to permit sponsors to identify potentially onerous aspects of their proposed instruments and generally improve the quality of data collected.

The Task Force also recommends that pretesting should be done on site at institutions so form and survey sponsors can see firsthand any special difficulties and be more able to provide instructions and instruments which will meet the criteria of efficiency, adequacy and minimum burden on respondents.

8. The collection of highly detailed information by which Federal agencies may discover the failure of institutions to comply with regulations or statutes may be inappropriate when respondent burden and practical utility to the agency are considered. The Task Force recommends that screening surveys be utilized to detect the need for the subsequent collection of more detailed data. Although this two-stage approach may appear to take more time, there will be far less respondent burden, the compliance agency will not have to handle such a large volume of unused data, and the staff can be made available for the analytic work which so often is pressed into the background.

9. The Task Force recommends that special attention should be paid by survey sponsors to the workload required for statistical and administrative reporting as it impacts on certain groups of institutions. For example, small institutions have less capability to take on what might be a modest request of a campus with more resources. The data which might be obtained from the smaller institutions or other categories of institutions may weigh very lightly in the corpus of data for decison-making, but nevertheless pose a workload, perhaps a clear example of unnecessary burden.

10. Sampling of the data items should also be used to reduce respondent burden. For example, certain data might be collected by a census of all institutions, while more detailed data could be obtained from just a sample of those institutions. This approach will still be considered a single survey by the Clearance Office, OMB, because its objective is to reduce reporting burden.

11. The Work Group Report[1] recommended that all Federal data activities be consolidated in a single agency in order to reduce the number of Government/institution contacts, standardize definitions, remove duplication, minimize changes in definitions and data formats, and disseminate the results in a timely fashion. Careful examination of the implications of this proposal has led the Task Force to recommend against a single data collection agency. In the view of the Task Force, these objectives would not be guaranteed by such an agency.

On the other hand, there are counter-indications that a single data collection agency could add problems. What is often thought by critics of Federal reporting requirements to be duplication often turns out to be not much redundancy, but a very heavy load of reporting which does not appear necessary. In many cases data serve specific program or policy purposes, and increasing the distance between user and data collector is inadvisable. No currently established agency is staffed or otherwise prepared to handle the heavy workload of such a consolidation, and increased funding of that magnitude is unlikely. Agencies which become dependent on another agency for their data will become vulnerable when exposed to data policies or changing priorities which they cannot control. The complexity of such a new organization would not lead to simplification of the contacts between Government and the institutions. The single agency could not be expected to be able to provide the substantive expertise in the depth now available in specialized agencies.

Many of the recommendations of the Task Force, if implemented, can be expected to cut back on unnecessary or poorly designed data collection efforts. Instead of supporting the single agency concept, the Task Force recommends enhanced support for the continued improvement of statistical agencies and units, such as the survey, data library and dissemination services at the National Center for Education Statistics (NCES).

The Task Force also recommends that survey data from non-federal organizations should be added to the EDSTAT system at NCES to broaden the base of statistical information.

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[1] Ibid.

12. The Task Force recommends that data elements which have multi-agency uses be identified early in the planning process and that priority be given to the early editing and release of responses to these items. The Task Force also urges agencies to utilize partially pre-filled forms, drawing from data already in Federal agency files.

13. The Federal Administrative Procedure Act establishes a process for ensuring that public reaction to Federal policies is considered during the development of regulations. The several steps in this process include publication of a Notice of Proposed Rule Making (NPRM) with a 45-day comment period prior to publication of final regulation; encouraging comments through public hearings; requiring that Federal agencies maintain a record of written comments received during the NPRM comment period for review by interested persons; and, publication of final regulations reflecting public opinions and suggestions for change.

    A quick survey of thirteen of the agencies represented on the Task Force indicates that public involvement is an increasingly important factor in the regulations process, and that the agencies should reflect this in a more systematic way. The Task Force recommends that Federal agencies should, where appropriate, introduce into the current regulations development process a "notice of intent to develop regulations" to be published in the Federal Register with an allowed comment period of 45 days prior to the NPRM stage. The current Notice of Proposed Rule-Making process should, where appropriate, detail the type of reporting forms that will be required by the new set of regulation and estimate the burden institutions will have to assume in collecting or maintaining data. The agency should indicate its willingness to evaluate within two years the impact of the regulation in major policy areas.

14. Accountability for Federal Funds is necessary; however, OMB should reduce the institutional recordkeeping requirements entailed in Federal time and effort reporting and documentation of cost sharing by ensuring that collected information is meaningful and useful. OMB should implement the Commission on Government Procurement recommendation (B-8) which would effectively eliminate the necessity for cost sharing on R&D projects in concurrence with a similar recommendation endorsed by the Federal Paperwork Commission at its meeting on December 3, 1976. OMB should also seek omission of cost sharing requirements in the Independent Offices-HUD and HEW-Labor Appropriations Acts.

15. The Task Force recognizes the accomplishments inherent in OMB Circular A-110, which establishes uniform administrative requirements for grants and other awards received from Federal agencies. This Circular is expected to contribute appreciably to the reduction of the recordkeeping and reporting burden on colleges and universities on all grants and on those contracts, though few in number, to which it applies.

The Task Force believes that this contribution could be considerably enhanced if the standards set forth in OMB Circular A-110 could apply, in some measure at least, to the majority of contracts for research, training, demonstration, and public service that are generally performed in colleges and universities. There would undoubtedly have to be some flexibility in order to conform to the major procurement regulations, but Circular A-110 represents a significant achievement that should be extended where possible to contracts.

OMB is urged to consider such extension.

16. A single agency should be identified for managing the Federal interest in selected areas, such as human subjects protection, care and use of laboratory animals, clean air, pure water, and patents. Such an approach could be modeled after the existing cognizant audit agency concept which has reduced duplicative activities associated with financial audits of federally-sponsored programs by assigning each college and university to a single auditing agency, generally the agency with the greatest support to that institution.

The current mode of operation in such areas could be characterized as an informal version of lead agency responsibility, i.e., one agency having the broad legislative mandate in a given area, but other interested agencies are still able to regulate with no assurance that individual provisions are compatible to other existing agency guidelines. A case in point is the area of human subjects research. An institution of higher education may have to negotiate separate general assurance for the use of human subjects in research and related activities reflecting the different requirements of, for example, HEW, ERDA, and the Consumer Product Safety Commission. Under the cognizant agency concept, on the other hand, a single agency would assume complete responsibility for the development of all regulations in that area, reviewing existing regulations across Government and prepare a codification with recommendations for legislative changes as necessary to remove inconsistencies. It would minimize the reporting and recordkeeping burden by being the only agency having interface with higher education institutions in a given area.

In support of the cognizant agency concept, the President should direct all appropriate agencies to respond within 90 days to his request for agency positions in regard to the assumption of the cognizant role in the areas of: (1) human subjects protection, (2) care and use of laboratory animals, (3) clean air, (4) pure water, and (5) patents. After submission of agency positons, OMB should advise the President on the final selection of cognizant agency to each area.

17. The suggestion to consolidate the Federal Government's programs of enforcement of equal employment opportunity, civil rights and affirmative action is attractive although the problems which need to be addressed are too broad and complex to be included as a mission of this Task Force with the current time frame. For example, there is overlapping among various antidiscrimination legislative provisions, Executive Orders, and their implementing regulations designed to prevent discrimination by Government contractors, grantees and employers, public and private. These legislative provisions and Executive Orders are administered by several Federal agencies. This situation, in some instances, leads to undue burden in the form of duplication of enforcement activities which

wastes the resources of all parties and impedes effective enforcement. Civil rights enforcement and the administration of regulations have been perceived in some instances as imposing unreasonable burdens. We have examined the various civil rights regulations and instructions and have determined that there is no significant redundancy in recordkeeping and reporting requirements.

The Task Force recommends that the President form an appropriate group of knowledgeable persons from all relevant agencies and representatives from selected universities and colleges who have expertise in these areas to be convened by February 1977 to explore this complex problem under the chairmanship of a distinguished leader from the higher education community who is knowledgeable, sensitive, and experienced in the field of civil rights. Adequate staff and other support must be provided in this effort. The Presidential group should prepare within a 90 day period an action plan for this consolidation, including the legislative changes necessary to assign "cognizant agency" status (see Recommendation 16).

The Task Force also recommends that the Department of Labor, the Office of Civil Rights (HEW), the Internal Revenue Service, the U.S. Commission on Civil Rights, the Justice Department and the Equal Employment Opportunity Commission coordinate their enforcement activities through a memorandum of understanding.

18. The Federal Government permits recipients of grants and other agreements to purchase nonexpendable personal property. This property must, under OMB Circular A-110, be accounted for if the purchase price of an item is $300 or more. The property management function of the recipient institution involves considerable effort in maintenance of unit records on: the item's description; serial number; source of purchase; acquisition date; cost; location; condition; use; date this information was reported; and ultimate disposition data including sales price, method used to determine fair market value, and other characteristics. In addition to creating a record on each such item of property purchased for $300 or more, a complete physical

inventory must be taken at least biennially; a control system must be established to prevent loss, damage or theft with full investigation and documentation in the event of loss, damage or theft; and adequate maintenance procedures must be established to keep the equipment in good condition. In short, higher education institutions pay a very great additional price (i.e., burden) when they agree to purchase even rather modestly priced equipment with Federal money.

These provisions of OMB Circular A-110 are, of course, designed to assure proper stewardship of property acquired at Government expense. The question has been raised, however, as to why the $300 level has been set. An estimate by the National Association of College and University Business Officers indicates that if the accountability level were raised from $300 to $1,000, there would still be accountability under Circular A-110 for about 84 percent of the dollars represented by this nonexpendable equipment category, but the number of items to be handled as described above would drop 66 percent.

It should be noted that an item of equipment which costs less than $1,000 becomes the institution's property without reimbursement to the Government when there is no further use for it on Government projects. Circular A-110 appears to be interested in controlling the item under $1,000 by extensive recordkeeping, handling, reporting requirements only for the duration of particular projects.

The Task Force recommends that the Financial Management Branch, OMB, change its Circular A-110, Attachment N, Section 2.c. to define "nonexpendable personal property" to include that which is purchased for $1,000 or more, rather than the current $300 level. In this way, a substantial amount of property management and recordkeeping responsibility will be lifted from universities and colleges.

19. Significant amendments to the filing requirements for exempt organizations were enacted as part of the Tax Reform Act of 1969. At that time, the Internal Revenue Service agreed to accept from a variety of exempt organizations, including universities and colleges, their own substitutes for the detailed financial information required in Form 990, Part II in lieu of a completed Form 990. In 1975, IRS determined that it could no longer accept

substitutes for two reasons: (1) a significant lack of uniformity in the way financial records were maintained and reported, and (2) the development within IRS of criteria utilizing items from the Form 990 to be applied by computers in the selection of returns for audit. For the past eighteen months, the National Association of College and University Business Officers (NACUBO) and its counsel have met with the IRS in an attempt to find an acceptable compromise. The institutions believe that completion of Part II of Form 990 would require them to keep their financial records in a way that often conflicts with recognized accounting standards developed and approved for use by universities and colleges. As a direct result of these negotiations, the Internal Revenue Service has agreed to certain changes on the Form 990 for 1976 and will review instructions for completing the 1975 and 1976 forms prepared by NACUBO for dissemination to its membership.

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(Chairman, Robert Wright)

Agency	Name	Title
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Commission on Federal Paperwork	Howard E. Holcomb	Director, Education Study Group
Commission on Federal Paperwork	Howard Wile	Consultant
Department of Defense	Thomas W. Carr	Director, Defense Education
Equal Employment Opportunity Commission	Melvin Humphrey	Director of Research
Equal Employment Opportunity Commission	Odessa M. Shannon	Special Assistant to the Director of Research
Energy Research and Development Administration	Sidney G. Roth	Senior Program Associate for University Programs
Environmental Protection Agency	Frederick Lilly	Director, Program Reporting Division
Department of Health, Education, & Welfare	Philip Austin	Deputy Assistant Secretary for Education (Policy Development)
Department of Health, Education, & Welfare	F. William Dommel, Jr.	Program Analyst National Institutes of Health
Department of Health, Education, & Welfare	Theodore Drews	Acting Director, Division of Survey Planning & Analysis, National Center for Education Statistics
Department of Health, Education, & Welfare	John Hodgdon	Acting Deputy Assistant Director for Planning and Program Coordinatio Office of Civil Rights

Department of Health, Education, & Welfare	Richard W. Sommerren	Special Assistant to the Deputy Commissioner for Post Secondary Education, Office of Education
Department of Health, Education, & Welfare	Burton Taylor	Acting Director, Higher Education Divison, Office of Civil Rights
Department of Health, Education, & Welfare	Cooloo Wunderlich	Associate Director, Data Policy, Assistant Secretary/ Health
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Department of Justice	Mary Wagner	Assistant to the Deputy Attorney General
Department of Labor	Anne Blackwell	Equal Employment Specialist
Department of Labor	David Ganz	Employee Benefits Specialist, Pension & Welfare Benefit Program
Department of Labor	Ronald P. Gilbert	Wage Hour Analyst
National Aeronautics & Space Administration	W. A. Greene	Chief, Policy Coordination, Office of University Affairs
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National Science Foundation	Richard M. Berry	Study, Director, University & Nonprofit Institutions Studies

National Science Foundation	Robert Wright	Head, Science Indicators Unit
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Veterans Administration	Fred Branon	Assistant Director, Research & Bioma Office of Comptro
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Mr. HORTON. That was the result of six persons working approximately 13 months. At our last meeting of the commission, which was held just last month, we adopted this report. So it has now been adopted by the 14 commissioners of the Federal Paperwork Commission.

Mr. Chairman, I do have a prepared statement but first I do want to thank you for this opportunity to appear before the committee and to give us the opportunity of talking about and presenting our findings and recommendations of the Paperwork Commission in this particular field of education

I think you may know that the commission is a two-year commission. It is composed of 14 members, 14 commissioners, and we have divided the work so that basically what we are doing is looking at the functions of what causes paperwork; in other words, what are the things that cause paperwork problems?

We are also looking in certain programs, areas, such as in the field of education.

The commission did decide it would have hearings around the country. We have pretty well completed that process and, as a result of that, we have gotten a lot of background information, particularly in the field of education

I would say parenthetically that at every hearing we attended someone, somewhere, testified on the problems and the magnitude of paperwork as it is related to education. It is a very serious problem, as I am sure you and the other members of the committee are perfectly aware.

HEW Region X released a draft report on March 7 of this year which says paperwork is a major issue that is adversely affecting the delivery of services to people; that HEW reports from state and Federal governments are found to be useless by one-third of the Federal, state, and local officials.

Excessive paperwork is diverting faculty and administrative staffs from the central business of teaching.

Mrs. Carolyn Warner, Superintendent of Education for Arizona, who I believe will also testify here today, told us that "we are stealing money from our children in education in order to provide administrative framework, staff and clerical help to fill out the forms...Teachers in the classroom have a job to do and that job is not a clerical job, and yet for the first two years the benefits from special education for the handicapped will be spent filling out forms and complying."

At our hearings in Phoenix, Dr. William Ganer, Superintendent of Ogden City Schools in Ogden, Utah, testified that the paperwork costs under the Indian Elementary and Secondary Education Assistance Act would cost $6,000 to complete, while the allocation of funds was only $4,500. In other words, it would cost the school district $1,500 over and above the total grant just to do the paperwork.

The director of a school Food Service Department said that "teachers are asking whether they are to teach or handle welfare programs." He went on to tell us that 20,000 staff hours are required to administer the school lunch program, using 200 reams of paper each year, not including food tickets.

The total dollar costs to elementary and secondary education to comply with excessive paperwork is growing out of all proportion to the Federal contribution. While such costs are substantial to be sure, the greatest cost may be intangible and occur in the losses of good will and spirit of cooperation. On the actual dollar side, it can cost up to $3.50 per data item, per school, for data that is not readily available.

When you consider that states receive 135 to 140 forms annually with hundreds of items to be collected from each school, you get some idea of the magnitude of the burden.

Dr. Robert Benton, Superintendent of Public Instruction for the State of Iowa, and a very valuable member of the commission who worked as an economics adviser to this particular study group, pointed out at the last meeting: "The Federal commitment to education is around 11 percent, but they may impose 50 to 60 percent of the compliance requests on the local school system to be eligible. People are posing the question 'Is it really worth it'?"

Mr. Chairman, six major themes of symptoms of the ills of excessive paperwork were identified by the commission in its report on education. They are almost epidemic in their effect on all education respondents. They are:

duplication in the collection of data;
unrealistic requests for information not readily available;
insufficient lead time to respond to Federal forms;
inconsistent terminology used in requesting data;
high costs of production data, and
late feedback of results on information supplied Federal agencies.

These problems can be surmounted. They can be surmounted by improved management, better planning and greater oversight. We have made several specific recommendations which will both relieve immediate problems and provide the basis for long-term relief.

The commission believes that improvements can be aimed at managing and controlling data-gathering, particularly in the elementary and secondary education programs. We have suggested,first, that all Federal data collection from education respondents be centrally coordinated.

We recommend that the Office of Management and Budget provide for Federal coordination of education data production by requiring, in its forms clearance procedure, that all requests from any Federal agency for data from education respondents be coordinated through the HEW Assistant Secretary for Education prior to OMB clearance.

The Director of OMB, Bert Lance, who also serves on the commission, responded on March 28, 1977 that this strategy held great promise. He said that the Education Data Acquisition Council is presently including Office for Civil Rights education data collection in its review activities. This is in response to the mandates of the Control of Paperwork Amendment initiated by this committee last year, and which you referred to in your opening statement.

When the Education Data Acquisition Council proves to be a viable mechanism for this coordination, Mr Lance said OMB would advise the secretary to coordinate education data activities for the entire department and, depending on the outcome of that effort, would consider extending coorination to all Federal departments.

Two additional steps have been recommended by the commission to strengthen the central coordination process. One would require the use of standard definitions and terms, a requirement also contained in the Control of Paperwork Amendment, and the automation of an index for keeping track of data submitted.

Through the implementation of these three recommendations, we would know readily who is collecting what, from whom, and for what purpose. Incredible as it may seem, the Federal government does not have this capacity at the present time.

A chronic problem for education respondents is the lack of sufficient lead time to complete data requests, and we heard this every place we went. States and schools begin to build their annual data acquisition plans early in the calendar year for actual collection at the start of the next school year in September. Any forms arriving after the start of a calendar year, containing requests for new or differently classified data, require a manual compilation, an expensive and time-consuming process.

Perhaps the major contributor to the problem of lack of lead time in the last dozen years has been the extensive and increasing amounts of Federal education legislation. Departments and agencies and schools have not been able to keep pace.

The commission has recommended that all forms in the Education Data Acquisition Council annual data acquisition plan be cleared by the calendar year prior to fall collection. The Congress and the executive branch will need to provide adquate staff and support to achieve this objective. Once it is achieved, the Education Division will be better able to make multiple uses of data, another commission recommendation, and to review together all forms in a program from application to final reporting rather than review singly one form in one part of a program.

Mr. Chairman, many people feel that we in Congress are to blame for the paperwork burdens on education. It is a charge that we cannot treat lightly; there is much Congress can and must do. Yet in our report on education, the commission has also recognized the leadership and initiative which this committee has taken to begin to solve these paperwork problems.

These oversight hearings today are a major step in the right direction. I hope that the committee staff wil review in detail the full report of the commission. We will be happy to work with you and the executive agencies to see the recommendations implemented; that is up until October when we go out of business. In the meantime, these members of our staff at the Paperwork Commission would be very willing to participate and cooperate with your staff in any way possible to implement the recommendations and give you the benefit of whatever background data we have collected in the Paperwork Commission.

Your action last year in passage of the first Control of Paperwork Amendment, and other amendments which tightened up permissive language for information-gathering from the broad "may reasonably require" to "as are essential" should provide significant benefits in future data-gathering.

Mr. Chairman, much has been done but much remains to be done by the Congress.

In our report on education, approved April 28, the commission made three recommendations directed specifically to this committee. They are:

The education committees of Congress should recognize January 1 as the latest date by which Federal agencies should announce the specific education data to be collected at the start of the following school year, to provide sufficient lead time for states and institutions to include such data in their annual acquisition plans.

That is a very important recommendation. I hope that the committee can follow up on that. I realize it creates a lot of problems. We know this. We want to do everything we can to try to make that date because that is a very important date as far as the education people are concerned.

The second recommendation was that the education committee of Congress should hold hearings on proposed regulations or data-gathering forms that are developed from laws whenever agencies and respondents indicated a need for guidance in preparing or responding to the ensuing regulations or forms.

One of the things we have found out as we have gone through is the inadequate attention to regulations and forms. Here is a very tremendous oversight responsibility as far as the committees in Congress are concerned, particularly in this instance the Education Committee.

I sometimes feel, Mr. Chairman, that we have a corresponding responsibility; we enact legislation and that is a very important responsibility that we have as members of Congress. But quite frequently we do not exercise that other responsiblity which we have and that is oversight. That is equally important, in my judgment, the oversight, and we are finding that to be true more and more.

As I found out in my district last February, I saw over 500 people, I summed it all up with three words, strangulation by regulation. That is what is happening in the country. Regulations are strangling business people, individuals, and everyone else. The need for oversight was probably never as prevalent as it is today.

The third recommendation is the education committees of Congress should review every third Congress, beginning with the 95th Congress, the reports and studies they require of the Department of Health, Education, and Welfare to eliminate those no longer needed, consolidate those that can be combined, and make the remainder compatible with an overall plan for reporting.

Three of every ten citizens are directly related to education, involving teaching and learning from preschool to postgraduate levels, under either public or private auspices. Federal paperwork touches on education at every level, from every direction. We regulate, monitor, and require reports on everything from financial aid policies to faculty documentation of personal services on Federal research grants and contracts. Nearly every department and agency of government has some reason to require paperwork of individuals or institutions in education. Given those dimensions and the limited staff and time available to the commission, it has not been possible to examine in detail all the aspects of paperwork in education. We do feel, however, that we have isolated many of the major problems and have made recommendations to solve them.

I might say parenthetically that what I have presented to you is a summary of the report. The report that you have in front of you says that the report of education made some 41 recommendations, in grants and contracts there are 10, student aid 10, nondiscrimination 9, management controls 12, a total of 41; 34 of those recommendations have been accepted and are now being implemented. The number relating to elementary and secondary education is 16, nondiscrimination 6, management controls 10.

I have set out a summary of the 6 in nondiscrimination and the 10 in management controls to make it easier for the members of the subcommittee to see the recommendations we have made.

[The document referred to follows:]

The report on Education makes 41 recommendations:

In grants and contracts	10
In student aid	10
In nondiscrimination	9
In management controls	12
	41

The number relating to elementary and secondary education is 16:

In nondiscrimination	6
In management controls	10
	16

The six recommendations in the section on nondiscrimination say:

- The President should issue an executive order and propose legislative changes, if required, to designate a single cognizant agency for equal opportunity and civil rights recordkeeping, reporting, and compliance in the field of education.
- The President should form an appropriate group of knowledgeable persons, including advocacy groups, to contribute in the development of the cognizant agency, along the lines of the recommendation of Interagency Task Force on Higher Education Burden Reduction.
- The administrative procedures of any single cognizant agency for equal opportunity and civil rights

in education should allow for resolution of complaints at the lowest possible level and provide for coordination of Federal and State enforcement efforts.

- Standard racial and ethnic categories should be used in applications under the Emergency School Aid Act.
- The Office for Civil Rights should announce clearly by January 1, 1977, whether data requirements in the school civil rights surveys, forms 101-102, are to be identical to those required in 1976.
- The Secretary of HEW should require clearance of forms 101-102 for the 1978-79 biennium in sufficient time to enable announcement of the 1978 survey data items by January 1, 1978.

The ten recommendations in the section on management controls say:

- The Office of Management and Budget should provide for Federal coordination of education data production by requiring, in its forms clearance procedure, that all requests from any Federal agency for data from education respondents be coordinated through the HEW Assistant Secretary for Education prior to OMB clearance.

- The Assistant Secretary for Education should use the standard terms in the National Center for Education Statistics' handbook series in forms clearance.
- The Assistant Secretary for Education should give high priority to the common-core-of-data program.
- The Assistant Secretary for Education should develop an automated indexing system for data, one that would include data from all Federal agencies.
- The Assistant Secretary for Education should review all education data gathering instruments in the calendar year preceding collection and announce by the January preceding the start of the school year the data elements to be collected in September.
- The Assistant Secretary for Education should develop the capacity for multiple uses of data collected by all forms.
- The Office of Management and Budget should urge all agencies, when they collect data only from education respondents, to provide nine-months advance notice of collection and to share their data collections with the Education Division for multiple uses wherever possible.

PLUS THE THREE RECOMMENDATIONS DIRECTED TO THE EDUCATION COMMITTEES OF CONGRESS that would provide for:

- the review of required reports,
- the recognition of the January announcement-September collection cycle, and
- hearings on regulations or data-gathering forms.

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Mr. HORTON. I might say that I have been informed by the Administration that to replace the Director of IRS, who is a public member of the Commission, appointed by the President, Mr. Don Alexander, who resigned from the government, the new Administration is going to appoint in his place, the head of HEW, Joseph Califano.

I think that is an important addition to the commission because this Administration, Mr. Carter, (I have talked with the President,) Mr. Lance, the OMB Director who is a member of the commission, and now Mr. Califano, are very dedicated to trying to resolve this paperwork problem and to eliminate a lot of it.

I might add that there was an article in the paper this morning where Mr. Califano has accepted one of our recommendations which was to eliminate a Federal form widely used by college students applying for governmental financial assistance. The recommendation was that they use the forms that the colleges use.

Mr. Califano has now accepted that and said, in accepting that, that the decision to accept nongovernment forms will eliminate duplicate paperwork for millions of students and their parents, who generally apply both to the government and their colleges for financial assistance.

On page 16 we have a number of points that we have raised in this report with regard to student education where students have to file a number of forms, this sort of thing. This is one of the recommendations that we made to Mr. Califano, and he has followed up on it.

Mr. Chairman, I and the members of the staff are available here to answer whatever questions you might like to ask.

Chairman PERKINS. All right.

First let me compliment you, Mr. Horton, for such an outstanding job. In my own district, all businesses, especially small businessmen and school superintendents and principals, are telling me that they are bogged down with paperwork and asking why do we not do something about it in Washington? I think largely it is because we have tried to legislate at too great a length.

This was not always the case. For example the Civilian Conservation Corps Acts established during Franklin Roosevelt's Presidency, was only about three paragraphs in length. We can write a bill—maybe the bill will be 15 pages—and the regulations will consist of 50 or 60 pages.

Somewhere along the line the cost to the government has just about reached the cost of the program.

We have to do something about the situation; we have to hold people accountable for the money they receive and see that it is expended in the right way. But everybody that has a hand in writing regulations wants to say that they need some kind of report. The top people in the departments have just got to make sure that this thing is eliminated. The people in the country really are going to rebel against this paperwork and get to the point where they say, well, if we have to spend all of our time, the laws that we enact are not going to serve their purpose if this paperwork is not cut back.

I am hopeful that we will take steps, and that the departments will take steps to reduce this paperwork and we certainly want to hold oversight hearings to make sure that this paperwork is, to a great degree curtailed.

I notice that you make a number of recommendations for administrative changes. You also urge our committee to recognize January 1 as the latest date for announcing data collection, to hold hearings on data requests, and to review periodically the studies we require on legislation.

In addition to these recommendations, do you believe we should pass any legislation trying to better control data than it is presently being controlled?

Mr. HORTON. I have a bill that I have sponsored along with Tom Steed, who, as you know, is a member of this commission and is very much interested in it. He and I have a bill that would require that we change the rules of the House so there would be a requirement that we would get something comparable to what you might call a paperwork impact statement that would require the Congress before it enacts legislation to require that there be a statement made with regard to the cost benefit ratio insofar as paperwork is concerned. I think something like that is very important.

I do think we are going to need legislation to bring it to the attention of the members of the House. Senator McIntyre, a member of the commission on the Senate side, and Senator Hatfield, did sponsor the same type of legislation. Senator McIntyre did get the Democratic Caucus to adopt that. That is now part of their rules in the Senate.

It is going to be necessary, as we walk through these recommendations of the Paperwork Commission, that there be legislation enacted to try to assist with regard to data collection.

I think it is going to be very important for us in the Congress to recognize that.

The first thing that we have recommended here, that I think can be very helpful, is the placement of this data collection through OMB so when they do the forms clearance, they can get the information there and have some handle on it.

Chairman PERKINS. From your review, can you tell us whether the paperwork problems are greater for certain types of school districts, especially small districts? Could you also tell us whether the really onerous data requests or program requests are requests for general information to fulfill general Federal requirements such as the antidiscrimination laws?

Mr. HORTON. I am going to ask Mr. Holcomb to answer the question specifically and then I will add a comment to it.

Mr. HOLCOMB. The cost to education seems to fall quite evenly whether schools are small or large; they just have different kinds of problems. The larger schools are better equipped, have more staff, but they have more data and students to deal with and frequently have to fill out additional forms.

The cost is borne in dollars. It is psychological, emotional as well, as you cited in some of your comments, Mr. Chairman.

As for data that comes in relating to nondiscrimination or general information, it would seem that if data could be announced in sufficient time so schools could adequately collect it and therefore have better data to submit to the Federal government and getting it a little earlier, there would be opportunities for multiple uses of that data. We have not gone into each and every one of the 400 forms in the education division, alone, which are a burden that you cited. There are forms beyond that and burdens beyond that, in the Agriculture Department and in other places in HEW.

Chairman PERKINS. Mr. Simon.

Mr. SIMON. Thank you, Mr. Chairman.

First of all, a general comment. I went over to your office. I frankly went over there, just going through a list of agencies and commissions that we had, and I thought if there is one more way of creating papework it is to have a Commission on Paperwork. I went over there fully expecting to come away loaded with material to say "Here is one we ought to do away with. That is one way of saving paperwork." But I came away most impressed by what you and the commission members and the staff are doing there. I think it is a real contribution. I have just one question.

Mr. HORTON. Thank you for that, Paul. I appreciate your kindness.

Mr. SIMON. I wish you well in any way I can help.

Mr. HORTON. As you know, we self-destruct, we go out of business October 2. We have a 2-year life. Our recommendations will be right on target. We will be finished and will close up shop within a few months after that. We will still have a few people on board to finish up the reports and do what is necessary to make the recommendations effective. So far as the work of the commission, it will be finished October 2, 1977.

Mr. SIMON. My question really relates to that fact. How do we follow through in the education field? I know you have done some work in the agricultural field, for example. How do we make sure that these excellent ideas aren't just going out into the air and that is it?

Mr. HORTON. Much of the remainder of the time that is left will be devoted to that very question. At our last meeting the Comptroller General, Elmer Staats indicated that the General Accounting Office would work very closely with the commission and—he is a commissioner also—and that they would follow up. So they have taken onto themselves a responsibility to follow up as they were required to and did in the Procurement Commission. So that will be an important step to follow up.

Next the bill, itself, requires OMB to have a rsponsibility for follow on up. I am certain there will be recommendations by the commission that there be established some type of agency to carry on generally the type of work that needs to be done.

Some of the work that we are doing, for example, if you have an opportunity, there is a telephone number that your constituents can call—I sent a notice around to all my colleagues and you should have gotten one—that they could call this ombudsman line. We have someone answering that telephone. That ombudsman function as established at the very beginning of this commission and has been a very important adjunct of the commission. A little guy will call from Oregon, Washington, Rochester, New York, wherever it happens to be, and say "This is a problem of paperwork" and our people will go to work on that and resolve it in most instances. That is the type of thing we have done as a result of the hearings. I expect there will be follow-on recommendations to that.

Mr. **Simon**. I have seen so much paperwork, I missed that particular message you sent out.

Mr. **Horton**. The number is 800-424-9882 toll-free. Here is the pamphlet we will leave with you.

Mr. **Simon**. I have no further questions.

Mr. **Horton**. Mr. Holcomb wanted to comment.

Mr. **Holcomb**. The final two recommendations in the report give responsibility to the educational respondent groups, themselves, and make reference to the Committee on Evaluation and Information Systems, Council of Chief State School Officers, which has set up a fine organization to monitor the development of forms and regulations, and so on, and get into the comments process early on, and post-secondary education is moving in the same direction. It has to be a partnership of the Executive Branch, the Congress and respondent groups.

Mr. **Horton**. I would add one other thing. I think the Paperwork Commission has spotlighted what the problem is, and I can't underscore enough the commitment of the President and this Administration to try to do something about it. If we can get that same commitment from the Congress, people such as yourself, the Chairman, and other members, to realize what we have wrought, if we can get that kind of commitment, I think we can cut back on paperwork. That will be a followup that is interesting.

Mr. **Holcomb**. Let me say once again, I think what you have done is a substantial contribution, and anyway I can help, I want to help. I have no further comments, Mr. Chairman.

Chairman **Perkins**. Mr. Le Fante, do you have further questions?

Mr. **Le Fante**. Yes, I would like to ask one question, if I may.

I agree with Chairman Perkins and Congressman Simon about the excellent job Frank Horton is doing with the Commission. I would be curious, Congressman, to know if the Commission been able to determine the differential between, say, the actual legislation that the Congress passes versus the amount of paperwork suggested by regulations of the various departments or agencies. Is there a way you can put it on a scale to balance it?

Mr. **Buhler**. Congressman, that is difficult to answer because it varies from program to program. In almost every case you will find regulations well tied to legislative authority. That is because there is a great deal of very broad legislative authority which, for instance, this committee recognized and changed in the education amendments of last year.

We have found a number of instances in HEW and Department of Labor where the regulations have greatly exceeded legislative authority and pointed that out to the committee involved.

In general, I think the regulations we find substantially increase the amount of paperwork over what Congress expected and planned when they legislated programs. That is again why oversight is so important.

Mr. **Horton**. We haven't run totals, taken a bill and run out regulations, and that sort of thing. We didn't have the time and staff to do that type of job.

Mr. **Le Fante**. I think that is a major area of concern. Sometimes when a short piece of legislation is enacted and it is measured against some of the regulations and forms that the agency or the department issues as a result of that legislation, you wouldn't even recognize the intent of the legislation.

Mr. **Horton**. I think that is a very good point, and I would hope the committee could do something in connection with that, because that is where it is all at, right there. No question about it. That is what creates the paperwork, it is the Congress enacting legislation and then the overexuberance of the administrators with regard to the regulations. That is what creates the paperwork. There is no question.

Mr. **Le Fante**. I think what we are saying is that the difference between the initial legislation as enacted and the enforcement by regulations is the foundation of bureaucracy, and they build upon it from there. I think that is where we have to attack the problem.

Mr. **Horton**. That is right. That is why I said before, the deeper I have gotten into it, the more I realize that the Congress has responsibility not only to legislate but to oversee, and we have that responsibility of looking at the legislation that we enact; oversight function can do away with a lot of this paperwork. But it is just because we get so busy with legislation, we don't have the time, and it is not that sexy a subject, you know, to go back and see what have we done and call people in to find out.

As you know, I serve on the Government Operations Committee where we have the oversight function; that is our job to check on that, and in the Reform Act we allocated to each committee that oversight function, but it is because we are so busy with other things we don't get the time. We have arrived at the point where there is a crisis today, and that is why I say the Congress has that responsibility to oversee, and if we did a better job of that, I think we would be more inclined to cut back on a lot of paperwork.

As I mentioned to you before, the acceptance of the Administration of these recommendations that we are making, the commitment of the Administration is significant. For example, Mr. Califano, making that change, which is smaller, but it will end a lot of paperwork with regard to the student applications. I am sure you know the amount of duplication in that program and inefficiency and the amount of forms that have to be filled out in connection with that student aid program. A lot of people just get to the point they say it is not worth it.

Mr. **Le Fante**. It turns them off, really.

Mr. **Horton**. That is right.

Mr. **Le Fante**. Thank you, Congressman.

Mr. **Perkins**. Mr. Kildee.

Mr. **Kildee**. Thank you Mr. Chairman, I too wish to commend the Congressman, as chairman of the Commission, and the Commission for the job they have done so far. I think I initially had some of the same fears that Mr. Simon expressed, but I think you have done a tremendous job and are to be commended.

Mr. **Horton**. Thank you very much.

Chairman **Perkins**. Let me thank you very much, Mr. Horton, and all your assistants. You have been invaluable, and we are going to follow this thing through. It may take us some years, but we are going to do something about the situation. It has to be done. It is just destroying the effectiveness of too many good programs in the nation, keeping people working on paperwork all the time instead of carrying out the intent of the Congress and enforcing the programs.

Mr. **Horton**. Thank you, Mr. Chairman.

Chairman **Perkins**. Our next witness is Mrs. Carolyn Warner, Superintendent of Arizona State Department of Education.

Without objection, Mrs. Warner, your prepared statement will be inserted in the record, and you may proceed in any manner you prefer.

[The prepared statement of Mrs. Warner follows:]

CAROLYN WARNER
SUPERINTENDENT

Arizona
Department of Education
1535 WEST JEFFERSON
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271-4361

May 24, 1977

Congress of the United States
House of Representatives
Committee on Education and Labor
Subcommittee on Elementary, Secondary,
and Vocational Education
Carl D. Perkins, Chairman

Mr. Chairman — Members of the Committee:

I thank you for the opportunity of sharing Arizona's Achievements in Reducing Federal Paperwork in Elementary and Secondary Education.

Can Federal data requests be reduced? Is it possible? ...

The answer is Yes! Federal data requests have been reduced in Arizona.

May 1975		May 1977	Reduction
268	Reports	110	58.9%
980	Pages	328	66.5%
33,978	Items	16,175	52.3%

Let me share with you, if I may, how this occurred. The office I hold, Superintendent of Public Instruction, is an elective position, a partisan position. As a candidate for this office I made a campaign promise. The promise was prompted by the condition of education in Arizona that administrators were burdened beyond the point of survival with paperwork. The staff of the Arizona Department of Education and I established a plan of action and they began to address the charge. The charge was "reduce Federal data requests by 50%." They have done a fantastic job. They reduced Federal data reports by 58.9%.

Why was Federal paperwork a concern, a concern of mine, then and now?

It was and is a concern because, to my way of thinking, education in the United States of America, is in a very serious condition. If I were to entitle my general remarks concerning the condition of education, I think I would talk about the endangered species. That species being the institution — education. Let me share with you why I believe education, the "can do" institution is ill today -- why education is the endangered species.

Data shows us that in 1900 we graduated 5% of our students. In 1976 we graduated 76% of our students.

In Arizona the percent of graduates is even higher. In Arizona the dropout rate is currently 12% rather than 24% elsewhere. We're not proud of the 12% rate and we're working to further reduce it.

Nonetheless, education has done a fantastic job in America! You here today are products of that system.

Remember when you attended elementary and secondary education. You can remember certain teachers, perhaps some administrators. You can remember the facilities, the desks, the girl who sat in front of you, the color of her pigtails.

Let me suggest there's a different perspective today. Different from the perspective when you and I attended school.

How is it different?

Education — the "can do" institution was discovered!

Education was discovered, and isolated as the institution that "can do" anything and everything. Virtually evary major change in society has been assigned to education in the last thirty to forty years.

I believe education, the "can do" institution, has been burdened to the point that it may not be able to survive.

You may say, what burdens?

Let me share some of the activities of education, the "can do" institution.

At the moment we provide our children with some consumer production education. We are the integration institution in America. We provide programs in adult and continuing education. We provide disadvantaged, gifted, and handicapped education. We provide some bilingual education. We provide some hot lunches and hot breakfasts. Education is the largest single transportation agency on earth. How about environmental and energy conservation education? We provide some art and humanities education. We are expected to provide education in Law, Agriculture, Business, Driver and Safety, Consumer Homemaking, Distributive, Cooperative, and Physical Education. We provide some Health education, in child abuse, corrections as well as international, Indian, and vocational and career education.

These are some of the activities -- oh yes, we are responsible to enable our students to learn to read, to write, and to compute. And, we should somehow inculcate rights, respect, and responsibilities as we continue.

I don't know whether or not education can continue to survive, carrying the responsibilities we are expected today.

Perhaps Title IX is worthy of mention in the above listing.

I have no quarrel with any one of the programs. We're finally arriving at the goal of providing equal educational opportunity for all.

My concern is -- can education survive with all of these responsibilities?

In Arizona, for the learning process of our 540,808 students, the taxpayer provides 92% of the necessary funding from state and local resources. For proper accountability, to assure appropriate expenditure of funds, we require some data collection, 16% of the total pages required.

Arizona utilizes in the learning process some 7-8% of taxpayer money from the Federal government. The Federal data requirement is massive, 84% of the total pages required.

We find ourselves in a situation whereby the Federal government is providing for education in Arizona 7-8% of taxpayer funding and imposing 84% in data requests (paperwork). Can you understand my concern?

Where are all the Federal data requests coming from? Some are from the Office of Civil Rights, the Department of Interior, the Office of Safety and Health Administration, the Office of Education and others.

Let me suggest, my friends, that it appears those people must not be talking with one another. They were all collecting essentially the same data, with an occasional caveat that related to the particular whim of their bureau chief, or agency, or program. This kind of lack of coordination simply cannot continue to exist.

We in Arizona were able to reduce paperwork, Federal data paperwork, by 57.8%. Possible, because we wanted to, because we tried. How — we went to the victim, the person in the field who is charged with the responsibility of providing the information, and said — come, let us help you to do your job better.

The Arizona Department of Education became a service agency. We tried to help the education institution do its job, rather than being that person out there beating them over the head for compliance. We took a different tact — how may we help you accomplish the job that all of us want to do — for children. Using that approach, we asked people to come in -- the victim — and help us reduce paperwork. Not a single person said no. Everyone (not only did not say no) contributed, freely, their time, energy, and skill, once a month and helped us. They worked with our program people to reduce paperwork, to reduce the redundancy, to eliminate the duplication, to build a calendar for data collection that makes sense, that any normal business person or administrative officer would implement in their agency or business.

We feel that education in the State of Arizona is more healthy than elsewhere, but we feel that education is constantly threatened by the overprotective help of the Federal government.

We need the Federal funds (taxpayers dollars).

We have a great need for disadvantaged in the State of Arizona. Arizona has many American Indian students and many Mexican American students who have language difficulties. Arizona has its share of handicapped students. We want to serve each and every student and provide all an equal educational opportunity. But, we want to do that very thing.

We do not want to destroy American education, by taking teacher time and administrator time to fill out endless forms for whatever eventual purpose, some of us have yet to fathom.

We want to spend the time with the child, in the classroom, and help that child succeed. We want to help each child to become the extraordinary person they have the capability of becoming, given the opportunity.

I feel that Federal paperwork is taking the opportunity of America, the great expectations we have for education, away from the child. Our energies are being diverted into filling cabinets and massive piles of paper that are to be punched into computer cards and to be stored somewhere. Maybe, to be reviewed, maybe to be evaluated, maybe to be used, and maybe not. At the same time, that child that we're there to serve, and for whom we collect that data, is not being served. I believe that this continual proliferation of paperwork is counter-productive to the overall goal of equal educational opportunity for every American child.

I would suggest several things; one, we have developed a device, a process, a way, a plan, to reduce paperwork. You are welcome and I encourage you to utilize the plan. We have been requested to submit our plan to over 300 individual agencies, divisions, and bureaus. Every state in the nation has requested a copy of our data reduction plan. To date, over 60 businesses have requested a copy of our data reduction plan.

May I suggest another way, in addition to the plan, for your serious consideration. Should you, the Congress of the United States, require that every Federal agency who sends a series of forms, or requests data, provide a check to pay for the doing of the work, along with the request. This would enable the local district to continue to work in education, to work with the child, rather than collect sometimes redundant, sometimes unnecessary and oftimes unused data.

Should Congress so do, I would suggest and if possible, guarantee, you would see a sudden, a drastic reduction in the amount of data requested. I would further suggest you would get more nearly to the truth of what was really needed, of what was really going to be used.

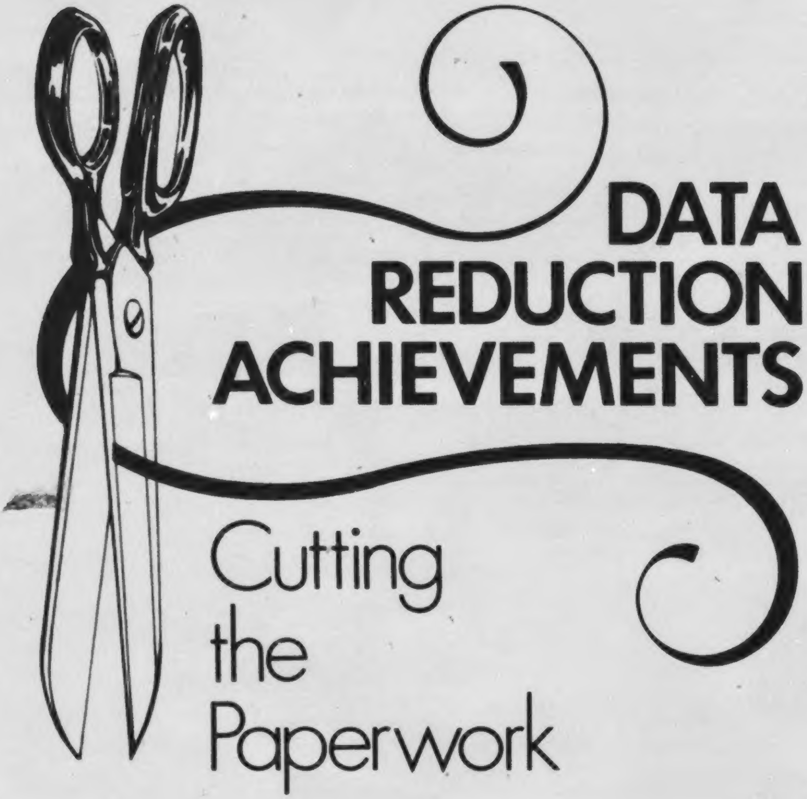
If a Federal agency had to divide its own operating budget into a portion of data collection and send a portion of its budget to the victim, it would begin to make a great deal of sense to them, immediately, to examine and prioritize their requests.

I submit that what we're talking about today is much more important than just the reduction of paperwork, though heaven knows, I can think of nothing that is more urgently needed.

I suggest that what you're discussing here today, in committee, is very simply whether or not you're going to be able to allow education to survive, whether you're considering the endangered species. Is the institution of education, going to be considered of sufficient importance to this country? Is the education of a child, a small child in a classroom, going to be given sufficient importance as compared to collecting more and more Federal paperwork?

We must enable educators to educate children in the basic skills of reading, writing, and arithmetic, in the areas of career and vocational education for that world of work, and reinstitute into education the 3'Rs of Rights, Respect, and Responsibility. If you, the Congress of the United States, want these things, truly want these things to happen, then you must, you must to keep education alive, reduce the strangling, terminal effect of continually increasing Federal paperwork.

Carolyn Warner
Superintendent of Public Instruction
State of Arizona



DATA REDUCTION ACHIEVEMENTS

Cutting the Paperwork

CAROLYN WARNER, SUPERINTENDENT
ARIZONA DEPARTMENT OF EDUCATION

MAY 1977

UNNECESSARY PAPERWORK IS REDUCED

3rd Data Acquisition Plan---the vehicle

Relief is in sight for school personnel who have been buried by unnecessary paperwork. To reduce unnecessary paperwork, the Arizona Department of Education (ADE) has implemented its third Arizona Data Acquisition Plan (ADAP).

Through the process of standardizing forms so school districts might use a single form in multiple areas, the Plan has reduced the number of required forms by 57.8 percent.

Total number of pages of forms also has been reduced 62.6 percent and more than 26,598 data items have been eliminated.

Mrs. Carolyn Warner, State Superintendent of Public Instruction, earlier pledged that ADE would reduce data acquisition paperwork by more than 50 percent.

Copies of the Plan fulfilling that pledge are mailed annually on May 1 to the school administrators throughout the State to afford them the maximum lead time in the decision-making process.

The Annual Data Acquisition Plan is one of seven (7) documents that comprise the Arizona Data Management Model. The Arizona Model has been requested by every state and by over 50 private firms. The total of copies requested from out of state, to date, is 247 copies.

"We've proven that we can meet the need and improve the efficiency and mobility of our data acquisition system," Mrs. Warner said.

"We've removed the burden of unnecessary paperwork from the backs of school administrators.

"And, the Plan will be further improved and updated on a monthly basis."

The Plan not only represents the combined efforts of field and department personnel, but is an orderly, systemized vehicle for administrators.

DATA STANDARDIZATION'S IMPACT ON SCHOOLS

The standardized concept in a systems approach adds many time-saving benefits to the districts. The following, when implemented, will result in decreased workloads for district personnel:

1. Common items assist in defining what is required in program reporting.
2. Staff training time is reduced when relating to common items.
3. Common items assist in establishing data needs.
4. Recognition of prioritized information is improved, more handily stored, and more easily retrieved.
5. Comprehension of common items shortens program writing time.
6. Reporting errors decrease when dealing with fewer unique items.
7. Office management skills are likely to improve.
8. Save on paper and postage.
9. Once collected, the data can be incorporated in more than one report.
10. Program monitoring becomes more manageable.
11. The evaluation and statistical analysis becomes less burdensome.
12. The entire spectrum of program preparation, implementation, evaluation, and reporting improves the skills and accuracy of the doers.

REDUCING PAPERWORK....THE PROCESS

The Third Annual Data Acquisition Plan is a continuing step forward in the control of the burdensome paper flow that has inundated all segments of the State educational community. The ever increasing demands for public information, ancillary services, program reporting, student accounting, individual rights, ethnic dialogue, and every dimension of accountability have been so extensive and ever changing that the need to control the reporting burden of the local school administrator became a highly prioritized item.

The Third Annual Data Acquisition Plan is a first in that any data collection instrument required, by either federal law, state law, or state school board policy, has been reviewed and approved by a department committee and a committee of local school administrators. These two committees have reduced the number of required forms by 57.8 percent; the number of separate pages by 62.6 percent; and more than 26,598 separate data items.

This accomplishment fulfills a pledge made earlier by Mrs. Carolyn Warner, State Superintendent of Public Instruction, that ADE would reduce data acquisition paperwork more than 50 percent.

The Plan will be further refined and updated on a monthly basis.

IRAC MEMBERS & DUTIES

The Information Review Administrative Committee (IRAC) of ADE, coordinates departmental efforts (with DAAC) in the review and revision of data collection items.

IRAC members are appointed by the Superintendent's cabinet while DAAC members are appointed (from school district personnel) by Mike McCormick, Executive Director of Arizona School Administrators. Representatives from county offices are appointed by the president of the Arizona Association of County School Superintendents.

Members of IRAC responsible, with DAAC, in compiling the Third Annual Data Acquisition Plan, include:

Peg Denham	General Operations
Charles Hathaway	Business and Finance
Tom Russell	General Education
Hoyt Kenmore	Vocational Education

DAAC MEMBERS & DUTIES

Forms sent to school districts from the Arizona Department of Education (ADE), first are reviewed and approved by the ADE Data Acquisition Advisory Committee (DAAC).

DAAC simplifies and limits the requesting of information from local school districts by determining which forms are necessary, combining forms where possible or feasible and eliminating unnecessary ones.

To simplify the reporting of districts, DAAC compiles an annual data acquisition plan which includes forms needed by the districts.

Persons of the present DAAC responsible for compiling the Third Annual Data Acquisition Plan (with the assistance of the ADE Information Review Administrative Committee), include:

Larry Anderson
Office of Evaluation Services
Phoenix Dist. No. 1

Tom Arviso
Business Manager
Window Rock Dist. No. 8

Tom Boone
Maricopa Administrative
Services Cooperative

Laverne Brown
Business Manager
Holbrook School Dist. No. 3

Chon Canchola
Superintendent
Santa Cruz County School Office

Jim Cornwall
Head Teacher
Owens Whitney Dist. No. 6

Frank Glotfelty
Business Manager
Casa Grande School Dist. No. 4

Gene Hunt
Superintendent
Yavapai County School Office

Jim Irwin
Business Manager
Sunnyside School Dist. No. 12

Fred Lewis
Superintendent
Whiteriver Dist. No. 20

Anita Lohr
Superintendent
Pima County School Office

Charles Maxwell
Business Manager
Prescott School Dist. No. 1

Tom McCraley
Superintendent
Bullhead City School Dist. No. 15

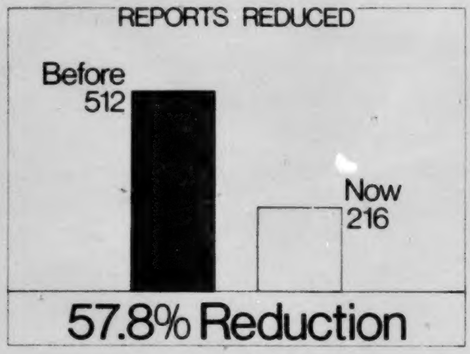
Jerry Parks
Acting Director of Federal Programs
Tucson Dist. No. 1

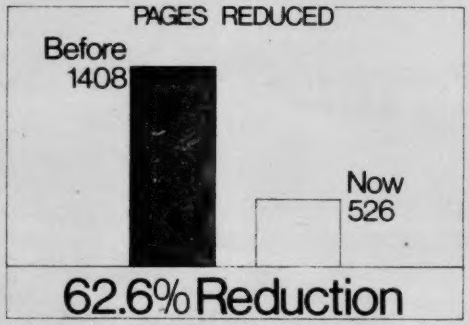
William Raymon
Technical Services Center
Mesa Public Schools

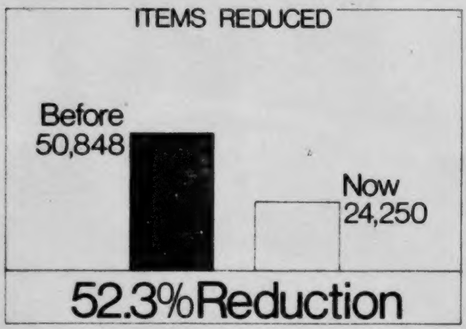
Alan Robinson
Assistant Superintendent
Safford School Dist. No. 1

Department of Education
Tony Cavallo, Chairman

ADE REDUCTIONS







DEFINITION OF TERMS

Common Items—Recurring information requested by the Arizona Department of Education.

Data—Any question directed to a school district to which it must respond.

Data Needs—That information needed for a required report.

Data-Collection System—An information-gathering system.

ADAP—Annual Data Acquisition Plan, is a systems approach to controlling data.

IRAC—Information Review Administrative Committee, is a committee of Department of Education personnel with the specific duty to review and approve all data items.

DAAC—Data Acquisition Advisory Committee, is a committee consisting of business managers and superintendents of public schools with the duty of reviewing and approving all data items.

Compliance—Fulfilling by local school districts of state and federal laws as specified, and state board policies.

Assurance—Legal certification that local school districts are complying with laws, rules, and regulations of an educational program.

Data-Acquisition Items—Information items involved in the collection process.

CURRENT FEDERAL PROGRAM FORMS

THE EFFECTS OF STANDARDIZATION:

Individually prepared forms in the past would require 422 pages to accommodate 23 federal program applications, periodic reports and completion reports. The following chart shows that a combination of 47 pages will accomplish the same results at a reduction of 376 unique pages or 89.1 percent.

REQUIRED PAGE OR REPORT	NUMBER	PROGRAMS																						
		Appl. A.B.E.	Appl. C.I.T.	Appl. G.E.D.	Adult Spec. Proj.	Bilingual	Migrant (Reg.)	Migrant (Summer)	Title I (Reg.)	Title I (Summer)	Title IV-B	Title IV-C	Spec. Ed. (Federal)	Voc. Ed. Entitlement	Career Ed. Work Ed.	Area Voc. Ed. Secondary	Area Voc. Ed. Postsecondary	Consumer Homemaking	Work Study	New Programs	Contract Construction	Disadvantaged Handicapped	Curriculum Development	Teacher
1. A.B.E. Appl.	32-008	X																						
2. C.I.T. Appl.	32-009		X																					
3. G.E.D. Appl.	32-010			X																				
4. Spec. Proj. Appl.	32-120				X																			
5. Program Narrative	32-002	X	X	X	X																			
6. Program Narrative	32-003	X	X	X	X																			
7. Program Narrative	32-004	X	X	X	X																			
8. Program Narrative	32-006	X	X	X	X																			
9. Detailed Budget	32-111	X	X	X	X																			
10. Detailed Budget	32-112	X	X	X	X																			
11. Participants	35-104												X											
12. Ltr. of Intent	30-005											X	X											
13. Intent to Carry Over	31-111								X	X														
14. Non-Public Sch. Cert.	31-004								X	X														
15. Target School Select.	31-104								X	X														
16. Participants and Activities	31-005					X	X	X																
17. Participants	31-012								X	X	X	X												
18. Parent Involvement	31-003					X	X	X	X	X														
19. Personnel Req.	30-111					X	X	X	X	X	X	X	X											
20. Program Format	30-006					X	X	X	X	X	X	X	X											
21. Program Format	30-007					X	X	X	X	X	X	X	X											
22. Program Format	30-008					X	X	X	X	X	X	X	X											
23. Program Format	30-009					X	X	X	X	X	X	X	X											
24. Proj. Appr. Cover Page	40-100	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
25. Capital Outlay	40-002	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
26. Est. Needs Pov. Sched.	40-004	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
27. Spec. Proj. Budget Page	41-114	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
28. Updated Inventory	30-004	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
29. Remove Equip. fr Inventory	30-107	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
30. General Assurances	10-001	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
31. Program Format	22-002													X	X	X	X	X	X	X	X	X	X	X
32. Program Format	22-003													X	X	X	X	X	X	X	X	X	X	X
33. Program Format	22-004													X	X	X	X	X	X	X	X	X	X	X
34. Program Format	22-005													X	X	X	X	X	X	X	X	X	X	X
35. Detailed Exp. Rpt.	22-401													X	X	X	X	X	X	X	X	X	X	X
36. Entitlement	22-100													X										
37. Program Summary	22-006													X										
38. R.F.P. Work Education	21-201														X									
39. Area V.E. Secondary	22-107															X								
40. Area V.E. Postsecondary	22-118																X							
41. Consumer Homemaking	22-203																	X						
42. Work Study	22-205																		X					
43. New Programs	22-208																			X				
44. Contracted Construction	22-209																				X			
45. Disadvantaged-Handicapped	24-202																					X		
46. Curriculum Development	25-113																						X	
47. Teacher – Voc. Ed.	25-211																							X
Reports																								
Amendments would be too difficult to enumerate but they would be a composite of select application pages.																								
Periodic Report	41-114	X	X	X	X	X	X		X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Periodic Report	41-114	X	X	X	X	X	X		X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Completion Report	41-114	X	X	X	X	X	X		X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Add 2 for Separate Amer.		2	2	2	2	2	2		2		2	2	2	2	2	2	2	2	2	2	2	2	2	2
TOTAL 422		19	19	19	19	19	19	14	22	17	18	18	19	19	18	18	18	18	18	18	18	18	18	18

A SYSTEMS APPROACH TO FORMS MANAGEMENT
FOR
ARIZONA DEPARTMENT OF EDUCATION

Carolyn Warner
Superintendent of Public Instruction

July, 1975

Prepared by
School Finance and Statistical Information Unit
Arizona Department of Education

A SYSTEMS APPROACH TO FORMS MANAGEMENT

1.0 DEFINITION

A systems approach is a theory in continuous process but embodying a core of procedures which can be identified and used to good effect. Forms management is one phase of the systems approach, a model, a function within the Department of Education.

A viable data collection process is an organized arrangement for making the right information available to those who need it, when they need it, in the desired format and at the least possible cost.

2.0 NEED

It is recognized that decision makers at all levels need information from which wise decisions designed to improve educational opportunities for children and youth be made. Merely collecting information and statistics on the state of affairs is not sufficient. Data should be explored on a wide assortment of choices and alternatives to suggest better courses of action than current practices.

The ever increasing demand for better quality, greater quantity, and faster retrieval of data has caused the Arizona Department of Education to focus upon a more efficient approach to the data collection system.

Thus, establishing a data base and retrieving data from that base to better serve the needs of the public schools are fundamental to this administration.

In a larger sense, the systems approach depends upon new knowledge as well as new legislative procedures for more research on group behavior, on basic mechanisms that effect our decisions, our reactions to one another, and to new ideas.

The systems approach elements are:

2.1 Design for action - Find the right questions to ask. Defining objectives in behavioral terms in ways that demand concrete action. Criteria is then selected as to how well the objectives are being met.

2.2 Seeking alternatives - There must be an organized way to search out alternatives, perhaps the most important and creative phase of the systems analyses.

2.3 Evaluation - It is a repetitive process--a realistic plan depends on trade-offs and compromise. Qualitative factors are always considered along with quantitative factors, there are always political implications, questions of morale, etc., which may not be measurable in satisfactory terms.

3.0 PROGRAM DESCRIPTION

3.1 A Data Collection - Forms Clearance unit will be formed within the Department of Education and given the responsibility and the authority for coordinating all data handling. This will be a separate administrative unit supported by a commitment of other parallel units within the Department. Adequate staffing will be provided to assure competent leadership, continuity in development, and efficiency of operation. Requests for data from both within and outside the Department will be channeled through this administrative unit. In turn, requests will be evaluated in terms of:

3.1.1 Whether the data requested are already available within the system;

3.1.2 The Department's responsibility for providing the requested data in consideration of the overall objectives and commitments of the Department;

3.1.3 The feasibility of collecting new and different data; i.e., the relative value of having the data, compared with the time and effort required of the school and agency personnel to obtain it;

3.1.4 The value and benefits of processed data and reports to school and agency personnel.

3.2 An Information Review Administrative Committee, primarily of the Deputy Associate Superintendent level, will be an integral part of the review process. Since the Department of Education is the primary vehicle charged with the preparation and implementation of the majority of forms that are currently used, department coordination and practical procedures for evaluation of all requests will assist in eliminating data collection that is unnecessary, undesirable, unfeasible, or redundant.

3.3 A Data Acquisition Advisory Committee with representation being primarily from superintendents of schools, and with area representation a prime consideration, will be included in the forms management system. Their input will rank high in the form-clearance and authorization process.

3.4 In summary - the three groups must be cognizant of state and federal requirements and sensitive to the needs of the Department and the local educational agencies. These groups will progress to a point where they are working at least one year in the future in identifying data needs and procedures. The commitment of the above three groups and Superintendent of Public Instruction are all critical to the entire process for the success of the forms management effort.

4.0 Statement

There are many aspects of waste and useless labor in most data collection systems and it stems largely from the inadequacies of definitions which have been developed in a haphazard manner. The system can only be as good as the data from which it is built. To insure that definitions are provided and understood, a systematic approach (forms management) will be established. Policies will be established and carried into practice which support all aspects of forms management. Purposes of forms management include:

4.1 Avoiding duplication of data items collected by the Department of Education Staff;

4.2 Assisting staff members in the development and design of data collection documents;

4.3 Ascertaining the reasons which necessitate the collection of data;

4.4 Reviewing all instructions and terminology used in data collection;

4.5 Assisting staff members in determining cost effectiveness of data collection efforts;

4.6 Structuring and categorizing data and information elements;

4.7 Developing a plan with the user which would include data items, definitions, instructions, time schedules for printing, dissemination and return, processing and analyses schedules, and also a description of the final reports with target populations.

4.8 Perhaps one more salient point should be added concerning accuracy. ACCURACY should be the first criteria and must precede all others--if data cannot be collected accurately, it should not be collected at all.

5.0 Strengths and Constraints

In order to provide people with insight into the consequences of the Superintendent of Public Instruction's statement on a forms management unit, the following strengths and constraints of that statement are offered:

5.1 Strengths

A thorough exploration of the systems approach to the forms management concept will reveal the following strengths:

5.1.1 It is extremely important for the successful operation of the forms management function to be established with the philosophical position that the function is one to provide service.

5.1.2 The control of forms should be viewed as a "positive assistance" rather than a "negative constraint."

5.1.3 We know more accurately what we are getting for our dollars as we seek that high level of quality which we desire so much for our children.

5.1.4 A forms management system does not of itself produce better education. It should, if used seriously, present educators with the opportunity to recognize more exactly what they want to achieve, plan a program of how they want to go about it and assess honestly the outcome of their actions.

5.1.5 The essential power of the forms managment system is that it offers the chief school officers a solid objective foundation in the decision making process.

5.1.6 A systems approach will enhance the validity of a service oriented Department of Education in the eyes of all school agencies in the State of Arizona.

5.2 Constraints

No system, of and by itself, will produce better education. Those educators who feel that the systems approach will be the answer to all their problems should be aware of certain conditions and/or attitudes which could hinder or deter the implementation of a forms management unit.

5.2.1 System investigators have much to learn from educators and educators have much to learn from them. Wisdom is more than ever a collective thing, more in the possession of groups and less in the possession of individuals, however talented.

5.2.2 Can analytical techniques be applied specifically to the intensely political problem of getting things done?

5.2.3 Can the opposition to change be overcome or effectively reduced by the use of the systems approach?

5.2.4 The systems approach is not a set established procedure with clearcut rules to follow in dealing with all problems. Machines cannot think, they return absurd answers only to absurd questions.

5.2.5 The nature of the relationship between the systems specialist and those responsible for major decisions is critical. If the relationship is not close, the specialist's work tends to be academic.

5.2.6 The delivery system will be hopelessly taxed if processing time is not zealously scheduled with patience and pre-planning.

5.2.7 Human editing is not eliminated, but dollars are saved and accuracy increased.

6.0 Bibliography

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Mitchell, J. E., Iowa; Ellis, W.E., South Carolina; Position Paper on Form Management for Management Information Systems for State Educational Agencies, presented from Committee on Coordinating Educational Information, Washington, DC, June, 1974.

Pfeiffer, John; New Look at Education, Odyssey Press, New York City, 1968.

Russell, Don; Forms Management in DPI, Department of Public Instruction, Wisconsin, 1975.

DATA COLLECTION AND FORM CLEARANCE

REVIEW AND AUTHORIZATION PROCEDURE

CAROLYN WARNER
SUPERINTENDENT OF PUBLIC INSTRUCTION

JULY 1975

PREPARED BY

SCHOOL FINANCE AND STATISTICAL INFORMATION UNIT
ARIZONA DEPARTMENT OF EDUCATION

1.0 INTRODUCTION

Functional responsibility for developing and implementing a Data Collection System within the Department of Education has been assigned to the Data Collection and Forms Clearance unit of the Section of School Finance and Statistical Information. The objectives of the DC-FC unit are:

1.1 (1) to promote maximum coordination and efficiency of data collection activities within the Department of Education.

1.2 (2) to make recommendations for the consolidation of data collection instruments in order to minimize duplication;

1.3 (3) to simplify reporting requirements and reporting formats of the Department of Education data collection instruments;

1.4 (4) to provide technical assistance to the Department's staff in the development and design of data collection instruments and activities;

1.5 (5) to provide Arizona School Districts with advance knowledge of the State Department's data collection needs in a given fiscal year through the preparation and dissemination of the Annual Data Collection Plan with one year lead-up time.

2.0 REVIEW AND AUTHORIZATION POLICY

All data collection instruments, state or federal, which are distributed to public or private shcool personnel by or under the sponsorship of the Arizona Department of Education staff members must be submitted for review and authorization prior to distribution.

3.0 DATA COLLECTION INSTRUMENT DEFINED

A data collection instrument is defined as any form, application, memoranda, or other device which requests public or private school personnel to collect and report data to the Arizona Department of Education.

The following types of instruments are subject to the policy and procedure covered by this document:

3.1 Recurring reports - reports due more frequently than once yearly.

3.2 One time survey report - an instrument which has been prepared to collect data one time only and which is not intended to be used on a recurring basis.

3.3 Emergency report - an instrument that has been authorized on the cabinet level, which due to time constraints, cannot be processed through the normal review and authorization process.

3.4 Occasional reports - reports for which no due date has been established. These reports are either filed as needed by the district or are filed at a date determined by the appropriation and release of Federal funds.

3.5 All Federal reports will be so titled and listed by month due.

4.0 REVIEW AND AUTHORIZATION DEFINED

4.1 Review entails the approval of data collection activities and the technical analysis of format, content, and other special techniques or methods used in conjunction with instruments in order to gather, process or analyze data.

4.2 Authorization is the determination that sufficient justification exists in law, regulation, or program needs to permit the distribution of a data collection instrument to public or private school personnel.

4.3 Authorization of approval of all or any data collection instrument must be passed by the Data Acquisition Advisory Committee (DAAC) with appellate authorization vested in the Superintendent's Cabinet. (See Appendix 1).

4.3.1 EXCEPTION: Emergency Instruments will be approved on the cabinet level only. (See Appendix 1).

5.0 REVIEW AND AUTHORIZATION SCHEDULING

Data collection instruments must be scheduled for review and authorization as follows:

5.1 Annual review and authorization - instruments currently in use must be submitted through channels (DC-FC) prior to distribution in each fiscal year. Instruments will be authorized only for a twelve month period.

5.2 Changes in data collection activities - review and authorization will be required when the following occur:

5.2.1 Revision of existing instruments, subsequent to annual review and authorization, in order to add or delete data or to make changes in the format.

5.2.2 Elimination or consolidation of one or more instruments subsequent to annual review and authorization.

5.2.3 Development of new data collection instruments including one time surveys and emergency instruments, each of which will contain an expiration date of six months.

6.0 GENERAL REQUEST FOR DATA COLLECTION

The ADE will prepare a form (DC-FC 2, included) to be filled out by the originator of each data collection instrument request. The form is self-explanatory in that it will supply the DC-FC unit with all the necessary information for the Annual Data Acquisition Plan and include the first two sign offs in the Review and Authorization process. It will also act as the cover sheet and agenda position for IRAC, the deputy associate review team.

7.0 THE SUMMARY SHEET

Prepared by the ADE, the summary sheet (DC-FC 3) will be the cover page of each instrument contained in the Annual Data Acquisition Plan. It is the official authorization page that not only will contain information but will have form identification, authorization date, expiration date, mailing date, and return due date.

Recipients of ADE collection instruments which are not accompanied with an official Summary Sheet need not respond to the request.

8.0 THE ANNUAL DATA ACQUISITION PLAN - is a notebook intended to make reporting information required by the ADE a more manageable task for local school districts. Toward that end, the Annual Data Acquisition Plan includes a list of the reports which all or most school districts must complete during FY 76, as well as actual or facsimile copies of all reports.

It is hoped that reporting requirements and planning can be published one year in advance of the due date.

9.0 PROCEDURAL STEPS IN THE FORMS AUTHORIZATION PROCESS

See ADE form DC-FC 1. Any and all criteria included herein is subject to the additions and/or deletions of the Data Acquisition Advisory Committee.

9.1 The sponsor is one who either originates or is assigned to prepare or perpetuate a data collection form. He initiates action with DC-FC. When form is prepared it goes to:

9.2 Deputy Associate for signature - the Deputy Associate can stop the process or send it to:

9.3 (IRAC) A committee on the deputy associate level to represent the ADE. IRAC is charged with the total review of the instrument and if approved it is placed:

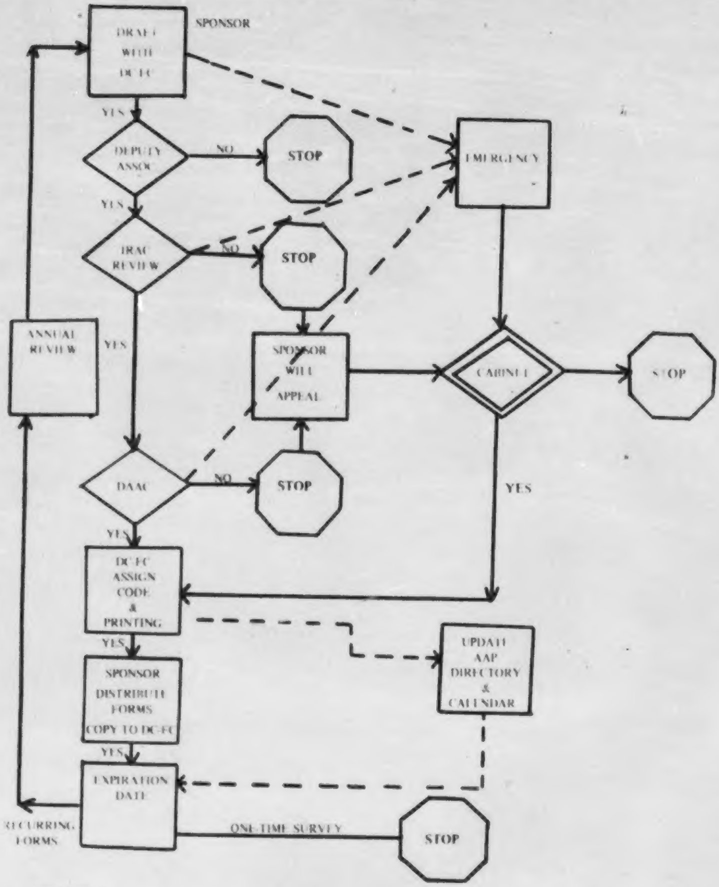
9.4 on the agenda of DAAC, an advisory committee composed on the Superintendent of School level, who have the approval authority to send it to:

9.5 DC-FC for summary sheet and implementation.

9.6 Disapproval by either IRAC or DAAC does not preclude an appeal to the Superintendent's Cabinet by the sponsor.

9.7 The Cabinet also will rule on all emergency requests with check offs with IRAC and DAAC.

FORM REVIEW AND AUTHORIZATION PROCEDURE


DRAFT WITH DC-FC
SPONSOR
YES
DEPUTY ASSOC
NO
STOP
YES
IRAC REVIEW
NO
STOP
EMERGENCY
ANNUAL REVIEW
YES
SPONSOR WILL APPEAL
CABINET
STOP
DAAC
NO
STOP
YES
YES
DC-FC ASSIGN CODE & PRINTING
YES
UPDATE AAP DIRECTORY & CALENDAR
SPONSOR DISTRIBUTE FORMS COPY TO DC-FC
YES
EXPIRATION DATE
RECURRING FORMS
ONE-TIME SURVEY
STOP

ADE(DC-FC 1)

SUMMARY SHEET

PAGE ______

FORM NO. ______

ADE ADAP ______
Form Approved Date ______
Mailing Date ______
Form Return Date ______
Form Expiration Date ______

Title ______________________

AGENCY REQUIRING INFORMATION ☐ ADE ☐ FEDERAL ☐ OTHER ______

MAJOR PUBLICATION ETC.
____
(Name and Date of Publication/Report)
____
(Name and Date of Publication/Report)

SPONSOR ______________ ______________
(Name) (Unit)

JUSTIFICATION
☐ Law ______
☐ Rules and Regulations ______
☐ Guidelines ______
☐ Legislative Request ______
☐ State Board Requirements ______
☐ Management Information ______
☐ Other ______

STATUS
☐ New data for one-time survey
☐ New data for recurring form
☐ No change from previous form
☐ Revision of previous forms

POPULATION
☐ Sample ☐ All Districts ☐ All Schools
☐ Other ______________

RECOMMENDED FOR COLLECTION BY

☐ DAAC - Data Acquisition Advisory Committee
☐ ADE - Cabinet

Please notify the School Finance and Statistical Information Unit (271-5695) of any data request that does not include a copy of this summary sheet. There is a posibility that such forms have not received proper clearance. Your notifying us of problems of this kind will assist us in controlling duplication of information and in seeing that forms are properly reviewed prior to distribution.

ADE-(DC-FC 3)

DEFINITIONS AND CRITERIA FOR FORMS APPROVAL BY DATA ACQUISITION ADVISORY COMMITTEE

1. REDUNDANCY:

   a. Any form item that can be eliminated without loss of essential information is redundant.

   b. Any item within a form will be declared non-essential if the information is readily available at the Arizona Department of Education and is retrievable. (Example: School District Street Addresses, etc.)

2. DUPLICATION: Information items previously gathered for one program should not be duplicated in subsequent forms for the same program.

3. LEGAL REQUIREMENTS: Legal requirements are those requirements specified in the Rules and Regulations and are usually distinct and separate from procedural recommendations. Any item is declared to be non-essential if it goes beyond the scope of the law in reference to ADAP approval. Exceptions will be those demographic items required by forms management.

   The committee or its sub-groups will rely on the program director or his representative to be present during the scheduled review periods to provide background knowledge and insight to the legal ramifications pertaining to the form.

4. FEASIBILITY: It is a judgmental criteria whether the information gathered is worthy of the time and cost spent in collecting the data.

5. FORM FORMAT:

   a. Paper size: 8 1/2 X 11 preferable; data items on one side; instructions for completion of items and/or a recap of the legal requirements are recommended to appear on the backside.

   b. Margins and Space: Leave one substantial margin for book-filing purposes. Even if printed, care should be taken that line spacing is adaptable to typewriter spacing.

   c. Numbering Pages and Coding: If more than one page is used, then number as follows, "page 1 of 6," etc.

   d. The following items are to be placed in the lower left corner of first page: The Arizona Department of Education form numbers which will be consistent, and revisions which will be specified with month and year. (Example: ADE 21-101; rev. 10/75.)

e. Data Items: List all data items from top to bottom 1, 2, 3, etc., in sequential order without duplicating any number throughout the form.

f. Columns: List columns (1), (2), (3), etc., from left to right without duplicating numbers. (Purpose: Simplification of indexing and cross-indexing)

g. Form Identification and Title: The top of each front page should list the mailing address on the left, the center portion should contain the division name and the title; and the due date should be placed on the right. Division or program identification should appear top center of subsequent pages. Example:

APPLICATION FOR FUNDING

ESEA Title I
Arizona Dept. of Ed.
1535 West Jefferson
Phoenix, AZ 85007

Due 6/30/75

CAROLYN WARNER
SUPERINTENDENT

Arizona
Department of Education
1535 WEST JEFFERSON
PHOENIX ARIZONA 85007
271-4361

April 26, 1977

MEMORANDUM

TO: School Administrators

FROM: Carolyn Warner Carolyn Warner

SUBJECT: Third Annual Data Acquisition Plan

The "Third Annual Data Acquisition Plan" is prepared for your use and convenience. It is your "telephone book" in management and planning of your reporting requirements for FY '78. The Plan reflects changes so please throw the old Plan away and substitute the new one in its place.

In this light, the Department of Education is committed to reduce any needless collection of data and we continue to encourage your input for suggested improvement. Diligent effort is being made to shift the reporting burden to the Department of Education where practical; increase the validity of the reported data by standardization and improved definition; and afford maximum lead time for your planning and performance.

It was indeed gratifying to me to observe the oneness of purpose exhibited by all of you in meeting the challenge and the frustrations of complying with the Office for Civil Rights' forms 101 and 102. However, the major issue, as to how the data collected is to be used, is far from settled. The collection and reporting of data, accountability, and the measurement of success and failure will continue to be a fundamental part of our daily existence.

Only in togetherness can we control the flow of redundant and ineffective data. The first step in the control of data is to not respond to any request of data that is not listed in the Annual Data Acquisition Plan or its subsequent updates.

If you have any questions concerning the status of any reporting instrument, please call Tony Cavallo, 271-5695. Your consideration and utilization of the Plan will result in better reporting, better data, and improved performance.

gec

Third Annual Data Acquisition Plan

Prepared by the Data Acquisition Unit, General Operations Division, through the cooperation of all units of the Arizona Department of Education Carolyn Warner, Superintendent May 1977

PREFACE

The Third Annual Data Acquisition Plan is a continuing step forward in the control of the burdensome paper flow that has inundated all segments of the state educational community. The ever increasing demands for public information, ancillary services, program reporting, student accounting, individual rights, ethnic dialogue, and every dimension of accountability have been so extensive and ever changing that the need to control the reporting burden of the local school administrator became a highly prioritized item.

The Third Annual Data Acquisition Plan is a first in that every data collection instrument required, by either Federal law, State law, or State School Board Policy has been reviewed and approved by a department committee and a committee of local school administrators. These two committees had reduced the number of required forms of the first Data Acquisition Plan by 54.6%; the number of separate pages by 86%; and more than 20,000 separate data items. Many thanks go to these committees for their good work.

FOREWORD

The Annual Data Acquisition Plan concept is the tying together in a sequential and explicit order the majority of reporting tasks during a given fiscal year to assist the decision makers in the administration of their school districts.

It is unique in that the review and approval procedures conducted to determine the criteria, format, and content of the forms included herein were accomplished by a volunteer committee of local school and county administrators, namely;

Mr. Larry Anderson	Phoenix
Mr. Tom Arviso	Window Rock
Mr. Tom Boone	Maricopa Administrative Services Cooperative
Ms. Laverne Brown	Holbrook
Mr. Chon Chanchola	Santa Cruz County
Mr. Jim Cornwall	Wikieup
Mr. Frank Glotfelty	Casa Grande
Dr. Gene Hunt	Yavapai County
Mr. Jim Irwin	Sunnyside
Mr. Fred Lewis	Whiteriver
Ms. Anita Lohr	Pima County
Mr. Charles Maxwell	Prescott
Dr. Tom McCraley	Bullhead City
Mr. Jerry Parks	Tucson
Dr. Bill Raymond	Mesa
Mr. Alan Robinson	Safford

The review and approval procedure is ongoing and the Data Acquisition Advisory Committee, named above, is supplemental to the Department's Information Review Administrative Committee composed of staff representing each Associate Superintendent, namely;

Ms. Peg Denham	General Operations
Mr. Charles Hathaway	Business and Finance
Mr. Tom Russell	General Education
Mr. Hoyt Kenmore	Vocational Education

ACKNOWLEDGEMENTS

The efforts of many divisions and individuals whose effective participation has helped assure the usefulness and accuracy of the contents of this notebook are greatly appreciated. The implementation of the Annual Data Acquisition Plan will enhance the quality of the data, while encouraging the development of adequate safeguards for protecting the confidentiality of students and preventing unauthorized or inappropriate use of information.

The function of this notebook is to identify terms, definitions, and procedures which represent the combined best judgment of the Information Review Administrative Committee and the Data Acquisition Advisory Committee participating in the cooperative development of the notebook materials.

INTRODUCTION

The format of the Third Annual Data Acquisition Plan is not intended to give you a copy of all approved forms, but rather a series of short indices that will easily identify the approved forms by Title and ADE number.

The number of reporting requirements has not decreased, but the standardization of asking for those data items has been accomplished. For example, one budget page form can be used for every program application, every program amendment, every program periodic report, and every program completion report. Eight out of ten pages in the average federal program application will be common to all federal program applications.

The time saved by each school district would be difficult to measure. Much has been accomplished and many forms have been eliminated, reduced, or combined with other forms. It is imperative that you throw away the content of the Second Annual Data Acquisition Plan, and check the new Plan for numbers and identification. Your diligence in making the Plan work will save you many, many dollars.

ADAP is divided into six parts, as follows:

PART I
Preface, Foreward, Acknowledgement, and Introduction.

PART 1
A Calendar Index--based on due date the report is expected to be returned.

PART II
An Index by Receiving Office--lists all the pages (forms) and reports due a particular office. The combination of sheets listed will also satisfy the requirements of an amendment, periodic report, completion report, and final evaluation.

PART III
DISTRICT USE ONLY-- Title 15 stipulates that the Superintendent of Public Instruction prepare certain forms for district use. These forms are listed for your benefit and are NOT RETURNED to the ADE.

INTRODUCTION

PART IV

List of Voluntary Forms. The forms listed in Parts I and II are mandated by law or Board Policy if the district elects to participate in the program. All other forms that are reviewed and approved, but not mandated, will be placed in this group.

PART V

Part V lists forms used in student organizations or clubs that have ADE sanction, and have been reviewed and approved by the standing committees.

Updating and changes: It is assumed that as of May 1, 1977, not all forms have been listed in ADAP, and that changes are necessary and unpredictable. The Plan will be updated on a monthly basis.

ARIZONA DEPARTMENT OF EDUCATION
ANNUAL DATA ACQUISITION PLAN
AS OF 05/01/77

CALENDAR - MAY

PART I

Composite: Each page in an application, amendment, periodic report, and completion report has a separate form number for standardization purposes. The program director will inform the district of the combination of pages (form numbers) to be included in any specific reporting packet. See Part II for application composite.

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
05-01	ADE 30-005	Statement of Intent to Participate	Special Ed.
05-01	ADE 32-008	A.B.E. Application	Adult Ed.
05-01	ADE 32-009	Citizenship Application	Adult Ed.
05-01	ADE 32-010	G.E.D. Application	Adult Ed.
05-01	ADE 32-120	Application for Grant for Federal Funds	Adult Ed.
05-05	ADE 32-209	Class Reporting System	Adult Ed.
05-05	ADE 45-108	Estimates - Free and Reduced-Priced Lunches	Bus. & Finance
05-09	ADE 33-402	Free Loan Driver Car Survey	Driver Ed.
05-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
05-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Food & Nutrition
05-15	ADE 35-105	Non-Public School Claim for Payment - Special Ed. Voucher	Special Ed.
05-15	OE 4017-2	Summary of School Construction Projects	Admin. Services
05-15	ADE 41-107	Estimated Membership Info. - State Aid	Data Processing
05-15	ADE 41-114	Financial Status Report	Migrant Ed.
05-16	ADE 31-111	Intent to Carryover or Release Funds	Title I
05-30	ADE 46-002	State Aid for Pupils of Parents Employed by State	Bus. & Finance

CALENDAR - JUNE

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
06-01	Composite	Title I Application	Title I
06-01	ADE 41-110	Proposed/Adopted School District Annual Budget	County Sch. Office
06-05	ADE 32-209	Class Reporting System	Adult Ed.
06-06	ADE 41-801	CUES Periodic Report	Special Programs
06-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Finance
06-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Finance

CALENDAR - JUNE (Cont'd.)

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
06-10	Composite	Bilingual Application	Bilingual Ed.
06-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
06-15	ADE 22-129	Work Study Report	Voc. Ed.
06-15	ADE 23-103	Summer Plan of Teachers on Extended Contracts	Voc. Ed.
06-15	ADE 35-105	Non-Public Claim - Special Education Voucher	Special Ed.
06-15	ADE 35-500	Application Program Prior Approval - Gifted	Special Ed.
06-15	ADE 31-201	Annual Evaluation Report (Regular)	Migrant Ed.
06-18	ADE 41-105	Claim for Exemption from Establishment of Kindergarten	Admin. Services
06-18	ADE 41-113	Budget Summary Worksheets Expenditures	County Sch. Office
06-18	ADE 41-108	Election for Special Budget Increase	Admin. Services
06-20	ADE 46-001	State Financial Aid - Certificate of Ed. Convenience Claim	Bus. & Finance
06-20	ADE 46-003	State Financial Aid - Students from Unorganized Territories	Bus. & Finance
06-20	ADE 41-800	CUES Progress Report	Special Programs
06-30	ADE 41-114	Completion Report Title IVB	Title IVB
06-30	ADE 40-001	Advice of Encumbrance	County Sch. Office
06-30	ADE 31-101	Evaluation Summary, Regular	Title I

CALENDAR - JULY

PART 1

07-01	Composite	Migrant Application, Regular	Migrant Ed.
07-01	ADE 41-301	Enrollment/Membership Report	Admin. Services
07-01	Composite	Title IVB Application	Title IVB
07-05	ADE 32-209	Class Reporting System	Adult Ed.
07-09	ADE 41-114	Completion Rept. - Entitlement	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Teacher Ed.	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Curriculum Development	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Disadvantaged - Handicapped	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Contracted Instruction Plan	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - New Program Plan	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Work Study Plan	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Consumer-Homemaking	Voc. Ed.
07-09	ADE 41-114	Completion Rept. - Education Professions Development Act	Voc. Ed.
07-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
07-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
07-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
07-15	ADE 31-402	Bilingual Annual Evaluation	Bilingual Ed.

CALENDAR - JULY (Cont'd.) PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
07-15	ADE 35-105	Non-Public Claim - Special Ed. Voucher	Special Ed.
07-15	ADE 41-114	Special Project Budget and Fiscal Report	Career Ed.
07-31	ADE 41-502	Pupil Transportation - Bus Inventory	Pupil Transportation

CALENDAR - AUGUST PART I

08-01	ADE 41-006C	Annual Days in Session	Admin. Services
08-05	ADE 32-209	Class Reporting System	Adult Ed.
08-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
08-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
08-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
08-15	ADE 35-105	Non-Public Claim - Special Ed. Voucher	Special Ed.
08-15	ADE 41-202	Annual Report Summary Worksheets	Admin. Services
08-20	ADE 41-001	3rd Grade Reading Achievement Test Order Form	Admin. Services
08-20	ADE 41-002	5th Grade Math Achievement Test Order Form	Admin. Services

CALENDAR - SEPTEMBER PART I

09-01	ADE 41-114	Completion Rept.	Migrant Ed.
09-01	ADE 41-114	Completion Rept.	Bilingual Ed.
09-01	ADE 41-114	Completion Rept.	Title IV C
09-01	ADE 41-114	Completion Rept.	Title I
09-05	ADE 32-209	Class Reporting System	Adult Ed.
09-05	ADE 41-112	Budget Summary Worksheet - Revenue	Admin. Services
09-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
09-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
09-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
09-15	ADE 31-101	Evaluation Summary - (summer or other)	Title I
09-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Spec. Ed.
09-15	ADE 33-604	Commercial Exhibitor's Contract Agreement	Special Projects
09-15	ADE 33-605	Booth Reservation Form (School/Program)	Special Projects
09-21	ADE 35-304	Name and Address of Provisionally Certified Teachers	Special Ed.
09-26	ADE 33-401	Application for Driver Ed. Approval	Driver Ed.
09-30	OE 4037	Determine Final Payment-81-874	Admin. Services

CALENDAR - OCTOBER

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
10-01	ADE 41-201	Enrollment/Membership Report	Admin. Services
10-01	ADE 33-600	Nomination for Ariz. Teacher of the Year	Special Projects
10-01	ADE 35-102	Special Education Census	Special Ed.
10-05	ADE 32-209	Class Reporting System	Adult Ed.
10-10	ADE 33-602	Free Enterprise Mailing List and Classroom Materials	Free Enterprise
10-10	ADE 33-703	Application for Inservice Training	Metric Program
10-10	ADE 45-001	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
10-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
10-10	ADE 45-118	Claim for Reimbursement, Child Care	Food & Nutrition
10-15	ADE 41-114	Periodic Rept. - Entitlement	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Work Education	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Teacher Ed.	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Curriculum Development	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Disadvantaged and Handicapped	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Contracted Instruction Plan	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - New Prog. Plan	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Work Study Program	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Consumer-Homemaking	Voc. Ed.
10-15	ADE 41-114	Periodic Rept. - Education Professions Development Act	Voc. Ed.
10-15	ADE 41-204	School District Employee Report	Admin. Services
10-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
10-30	ADE 31-308	American Indians Enrolled in Public Sch. PL 92-318	Indian Ed.

CALENDAR - NOVEMBER

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
11-01	ADE 41-200	Statistical Summary of Private and Parochial Schools	Admin. Services
11-01	ADE 30-005	Statement of Intent to Participate	Title IVC
11-05	ADE 32-209	Class Reporting System	Adult Ed.
11-05	ADE 45-108	Estimates - Free and Reduced-Priced Lunches	Food & Nutrition
11-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
11-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
11-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
11-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.

CALENDAR - DECEMBER

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
12-01	OE 4560	Comparability Report	Title I
12-01	OE 4560-1	Comparability Report	Title I
12-05	ADE 32-209	Class Reporting System	Adult Ed.
12-05	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
12-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
12-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
12-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
12-31	ADE-22-208	Preliminary Proposal for New Program Application (Part I of II)	Voc. Ed.

CALENDAR - JANUARY

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
01-02	ADE 21-201	Work Education R.F.P./or Application	Voc. Ed.
01-02	ADE 22-001	Statement of Assurances	All Voc. Ed. Programs
01-02	ADE 22-106	Exemplary Projects - Letter of Intent	Voc. Ed.
01-02	Composite	Entitlement Application	Voc. Ed.
01-02	Composite	Area Voc. Ed. - Secondary-Appl.	Voc. Ed.
01-02	Composite	Area Voc. Ed. - Postsecondary-Appl.	Voc. Ed.
01-02	Composite	Consumer-Homemaking Appl.	Voc. Ed.
01-02	Composite	Work Study Application	Voc. Ed.
01-02	Composite	New Programs Plan Appl.	Voc. Ed.
01-02	Composite	Contracted Instruction Plan Appl.	Voc. Ed.
01-02	Composite	Disadvantaged and Handicapped Appl.	Voc. Ed.
01-02	Composite	Education Professions Development Act	Voc. Ed.
01-02	ADE 22-610	Voc. Ed. Field Coordinators Application	Voc. Ed.
01-02	ADE 40-003	Intergovernmental Agreement	Voc. Ed.
01-02	Composite	Curriculum Development Appl.	Voc. Ed.
01-02	Composite	Teacher Education Appl.	Voc. Ed.
01-05	ADE 32-209	Class Reporting System	Adult Ed.
01-10	ADE 45-107	Reimbursement Claim, Food & Nutrition	Bus. & Fin.
01-10	ADE 45-002	Reimbursement Computation, Food & Nutrition	Bus. & Fin.
01-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
01-15	ADE 41-114	Special Project Budget and Fiscal Report	Career Ed.
01-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
01-15	ADE 31-205	Interim Performance Report	Migrant Ed.
01-15	ADE 41-114	Financial Status Report	Migrant Ed.
01-31	OE 4019	Appl. for Assistance in Federally Affected Areas, 815-874	Admin. Services

CALENDAR - FEBRUARY

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
02-01	ADE 33-601	Statewide Reading Achievement Program	Special Projects
02-01	ADE 35-102	Special Education Census	Special Ed.
02-01	Composite	Title IVC Application	Title IVC
02-01	ADE 35-001	Annual Appl. for Approval of Spec. Ed. Programs	Special Ed.
02-05	ADE 32-209	Class Reporting System	Adult Ed.
02-10	ADE 45-107	Reimbursement Claim, Food & Nutrition	Bus. & Fin.
02-10	ADE 45-002	Reimbursement Computation, Food & Nutrition	Bus. & Fin.
02-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
02-15	ADE 23-102	Final Report of Supervised Occupation Experience	Voc. Ed.
02-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
02-15	ADE 35-305	Handicapped (P.L. 89-313)	Special Ed.
02-28	OE 4376	Annu. Survey of Children in Neglected and Delinquent Institutions, or Children in Adult Correctional Institutions	Title I
02-28	OE 4376-1	Annu. Survey of Children in Local Insts. for Neglected or Delinquent Children in Correctional Insts.	Title I

CALENDAR - MARCH

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
03-05	ADE 32-209	Class Reporting System	Adult Ed.
03-05	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
03-08	Composite	Migrant Summer Application	Migrant Ed.
03-10	ADE 45-107	Reimbursement Claim, Food & Nutrition	Bus. & Fin.
03-10	ADE 45-002	Reimbursement Computation, Food & Nutrition	Bus. & Fin.
03-10	ADE 45-118	Claim for Reimbursement Child Care	Food & Nutrition
03-15	ADE 41-114	Periodic Rept. - Entitlement	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Work Ed.	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Teacher Ed.	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Consumer-Homemaking	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Work Study Plan	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - New Program Plan	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Contracted Instruction Plan	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Disadvantaged and Handicapped	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Curriculum Development	Voc. Ed.
03-15	ADE 41-114	Periodic Rept. - Education Professions Development Act	Voc. Ed.
03-15	ADE 41-501	Pupil Transportation - Route Report	Pupil Transportation
03-15	ADE 21-001	Career Education Request for Proposal	Career Ed.

CALENDAR - MARCH (Cont'd.)

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
03-24	ADE 21-002	Student & LEA Staff Impact	Career Ed.
03-24	ADE 21-003	Student & LEA Staff Impact (Continued)	Career Ed.
03-24	ADE 21-004	Qualifications of Proposed Staff	Career Ed.
03-24	ADE 21-005	Participating School Districts	Career Ed.
03-24	ADE 21-006	Goal Priority and Clustering	Career Ed.
03-24	ADE 21-007	Budget Analysis	Career Ed.
03-24	ADE 21-008	Resolution	Career Ed.
03-31	ADE 25-305	Handicapped (P.L. 89-313)	Career Ed.

CALENDAR - APRIL

PART I

DUE DATE	FORM #	TITLE - DESCRIPTION	UNIT
04-01	ADE 35-302	Provisional Certification Supervision	Special Ed.
04-01	ADE 35-303	Supervisors Assessment of Special Ed. Teacher	Special Ed.
04-05	ADE 32-209	Class Reporting System	Adult Ed.
04-05	ADE 45-108	Oct. & Mar. Estimates - Free or Reduced Price Lunch	Food & Nutrition
04-10	ADE 45-107	Reimbursement Claim, Food-Nutrition	Bus. & Fin.
04-10	ADE 45-002	Reimbursement Computation, Food-Nutrition	Bus. & Fin.
04-10	ADE 45-118	Claim for Reimbursement - Child Care	Food & Nutrition
04-15	ADE 35-102	Special Education Census	Special Ed.
04-15	OE 4017-1	Application for Financial Assistance for Public School Construction	Admin. Services
04-15	ADE 35-105	Non-Public School Claim - Special Ed. Voucher	Special Ed.
04-15	ADE 30-001	Statement of Assurance	All Gen. Ed. Programs
04-30	ADE 35-306	Annual Applic. for Appr. of Private Spec. Ed. Schools	Special Ed.

ARIZONA DEPARTMENT OF EDUCATION
ANNUAL DATA ACQUISITION PLAN
AS OF 05/01/77

PART II

BY RECEIVING OFFICE

ADULT ED.

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed.	Dir. of Adult Ed.
As Needed		* ADE 40-100	1	Project Appl./Amend. Approval	Dir. of Adult Ed.
05	01	ADE 32-002	1	Application for Funding	Dir. of Adult Ed.
05	01	ADE 32-003	1	Needs, Goals, Objectives	Dir. of Adult Ed.
05	01	ADE 32-004	1	Activities, Evaluation	Dir. of Adult Ed.
05	01	ADE 32-005	1	Calendar of Events	Dir. of Adult Ed.
05	01	ADE 32-008	1	Adult Basic Ed. Application	Dir. of Adult Ed.
05	01	ADE 32-009	1	Citizenship Application	Dir. of Adult Ed.
05	01	ADE 32-010	1	G.E.D. Project Application	Dir. of Adult Ed.
05	01	* ADE 41-114	2	Special Projects Fiscal Report (Budget)	Dir. of Adult Ed.
05	01	ADE 32-111	1	Salaries Budget Breakdown	Dir. of Adult Ed.
05	01	ADE 32-112	1	Supplies and Materials Budget Breakdown	Dir. of Adult Ed.
05	01	* ADE 40-002	1	Capital Outlay	Dir. of Adult Ed.
05	01	* ADE 40-004	1	Estimated Needs - Payment Sched.	Dir. of Adult Ed.
As Needed		ADE 32-120	1	Application for Grant for Federal Funds	Dir. of Adult Ed.
				FED. PROGRAMS REPORTS	
As Needed		ADE 32-200	1	Appl. and Permanent Record Form (GED)	Dir. of Adult Ed.
Monthly 05		ADE 32-209	10	Class Reporting System	Dir. of Adult Ed.
As Needed		ADE 32-210	1	Registration & Reinstatement	Dir. of Adult Ed.
As Needed		ADE 32-211	1	Staff Registration	Dir. of Adult Ed.
As Needed		ADE 32-212	1	Student Separation	Dir. of Adult Ed.
As Needed		ADE 32-225	1	Class Start Notice	Dir. of Adult Ed.

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PART II

BY RECEIVING OFFICE

BILINGUAL ED.

* Multi-use common forms + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Div. of Gen. Ed.
06	10	* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Dir. of Biling. Ed.
06	10	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Biling. Ed.
06	10	* ADE 40-004	1	Estimated Needs - Payment Schedule	Dir. of Biling. Ed.
06	10	* ADE 40-002	1	Capital Outlay	Dir. of Biling. Ed.
06	10	* ADE 31-005	1	Participants and Activities	Dir. of Biling. Ed.
06	10	* ADE 30-111	1	Personnel Requirements	Dir. of Biling. Ed.
06	10	* ADE 31-003	1	Parent Involvement	Dir. of Biling. Ed.
06	10	* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Biling. Ed.
06	10	* ADE 30-007	1	Program Format - Description	Dir. of Biling. Ed.
06	10	* ADE 30-008	1	Program Format - Dissemination	Dir. of Biling. Ed.
06	10	* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Biling. Ed.
				FED. PROGRAMS REPORTS	
07	15	ADE 31-402	2	Bilingual Education Annual Evaluation	Dir. of Biling. Ed.
As Needed		* ADE 30-004	1	Updated Inventory Report	Dir. of Biling. Ed.
As Needed		* ADE 30-107	1	Request to Remove Equipt. from Inventory	Dir. of Biling. Ed.
09	01	* ADE 41-114	2	Completion Report	Dir. of Biling. Ed.

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BY RECEIVING OFFICE

MIGRANT ED.

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
As	Needed	+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Div. of Gen. Ed.
As	Needed	* ADE 40-100	1	Project Appl/Amend. Cover Sheet	Dir. of Migrant Ed.
As	Needed	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Migrant Ed.
As	Needed	* ADE 40-004	1	Estimated Needs - Fund Payment Sched.	Dir. of Migrant Ed.
As	Needed	* ADE 40-002	1	Capital Outlay	Dir. of Migrant Ed.
As	Needed	* ADE 31-005	1	Participants and Activities	Dir. of Migrant Ed.
As	Needed	* ADE 30-111	1	Personnel Requirements	Dir. of Migrant Ed.
As	Needed	* ADE 31-003	1	Parent Involvement	Dir. of Migrant Ed.
As	Needed	* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Migrant Ed.
As	Needed	* ADE 30-007	1	Program Format - Description	Dir. of Migrant Ed.
As	Needed	* ADE 30-008	1	Program Format - Dissemination	Dir. of Migrant Ed.
As	Needed	* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Migrant Ed.
As	Needed	Composite		Summer Application	Dir. of Migrant Ed.
				FED. PROGRAMS REPORTS	
01	15	ADE 31-205	4	Interim Performance Report	Dir. of Migrant Ed.
06	15	ADE 31-201	9	Annual Evaluation Report, Regular	Dir. of Migrant Ed.
As	Needed	* ADE 30-004	1	Updated Inventory Report	Dir. of Migrant Ed.
As	Needed	* ADE 30-107	1	Request to Remove Equipt. from Inventory	Dir. of Migrant Ed.
As	Needed	ADE 31-203	2	Certificate of Pupil Eligibility	Dir. of Migrant Ed.
08	31	ADE 31-206	4	Annual Performance and Evaluation Report, Summer	Dir. of Migrant Ed.
09	01	* ADE 41-114	2	Completion Report	Dir. of Migrant Ed.
01	15	* ADE 41-114	2	Special Project Fiscal Report (Periodic)	Dir. of Migrant Ed.
05	15	* ADE 41-114	2	Special Project Fiscal Report (Periodic)	Dir. of Migrant Ed.

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PART II

BY RECEIVING OFFICE

TITLE I

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date		Form Number	No. of Pages	Form Title	Mail Completed Form To:
Mo	Da				
				FED. PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Div. of Gen. Ed.
06	01	* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Dir. of Title I
06	01	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Title I
06	01	* ADE 40-004	1	Estimated Needs - Fund Payment Sched.	Dir. of Title I
06	01	* ADE 40-002	1	Capital Outlay	Dir. of Title I
06	01	ADE 31-104	1	Target School Selection	Dir. of Title I
06	01	* ADE 31-004	1	Nonpublic School Certification	Dir. of Title I
06	01	* ADE 31-012	1	Participants	Dir. of Title I
06	01	* ADE 30-111	1	Personnel Requirements	Dir. of Title I
06	01	* ADE 31-003	1	Parent Involvement	Dir. of Title I
06	01	* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Title I
06	01	* ADE 30-007	1	Program Format - Description	Dir. of Title I
06	01	* ADE 30-008	1	Program Format - Dissemination	Dir. of Title I
06	01	* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Title I
				FED. PROGRAMS REPORTS	
06	30	ADE 31-101	14	Evaluation Summary	Dir. of Title I
05	16	ADE 31-111	1	Intent to Carryover or Release Funds	Dir. of Title I
As Needed		* ADE 30-004	1	Updated Inventory Report	Dir. of Title I
As Needed		* ADE 30-107	1	Request to Remove Equipt. from Inventory	Dir. of Title I
As Needed		ADE 31-110	2	Certification for Partic. in Coop. Project	Dir. of Title I
09	01	* ADE 41-114	2	Completion Report	Dir. of Title I

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TITLE I (Cont'd.)

*Multi-use common forms + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
02	28	OE 4376	1	Annual Survey of Children in Institutions, Operated or Supported by State Agency, for Neglected or Delinquent Children or Children in Adult Correctional Insts., ESEA Title I	Dir. of Title I
02	28	OE 4376-1	2	Annual Survey of Children in Local Insts. for Neglected or Delinquent Children in Correctional Insts., ESEA, Title I	Dir. of Title I
12	01	OE 4560	1	ESEA Title I Comparability Report	Dir. of Title I
12	01	OE 4560-1	1	ESEA Title I Comparability Report	Dir. of Title I

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TITLE IV B

* Multi-use common forms + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Div. of Gen. Ed.
07	01	* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Dir. of Title IV B
07	01	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Title IV B
07	01	* ADE 40-004	1	Estimated Needs - Fund Payment Sched.	Dir. of Title IV B
07	01	* ADE 40-002	1	Capital Outlay	Dir. of Title IV B
07	01	* ADE 31-012	1	Participants	Dir. of Title IV B
07	01	* ADE 30-111	1	Personnel Requirements	Dir. of Title IV B
07	01	* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Title IV B
07	01	* ADE 30-007	1	Program Format - Description	Dir. of Title IV B
07	01	* ADE 30-008	1	Program Format - Dissemination	Dir. of Title IV B
07	01	* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Title IV B
				FED. PROGRAMS REPORTS	
As Needed		* ADE 30-004	1	Updated Inventory Report	Dir. of Title IV B
As Needed		* ADE 30-107	1	Request to Remove Equipt. from Inventory	Dir. of Title IV B
06	30	* ADE 41-114	2	Completion Report	Dir. of Title IV B
As Needed		ADE 33-003	1	Maintenance of Effort	Dir. of Title IV B
As Needed		ADE 33-002	1	Evaluation Summary	Dir. of Title IV B

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PART II

BY RECEIVING OFFICE

TITLE IV C

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Div. of Gen. Ed.
02	01	* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Dir. of Title IV C
02	01	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Title IV C
02	01	* ADE 40-004	1	Estimated Needs - Fund Payment Sched.	Dir. of Title IV C
02	01	* ADE 40-002	1	Capital Outlay	Dir. of Title IV C
02	01	* ADE 31-012	1	Participants	Dir. of Title IV C
02	01	* ADE 30-111	1	Personnel Requirements	Dir. of Title IV C
02	01	* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Title IV C
02	01	* ADE 30-007	1	Program Format - Description	Dir. of Title IV C
02	01	* ADE 30-008	1	Program Format - Dissemination	Dir. of Title IV C
02	01	* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Title IV C
				FED. PROGRAMS REPORTS	
11	01	* ADE 30-005	1	Statement of Intent to Partic.	Dir. of Title IV C
As Needed		ADE 33-002	1	Evaluation Summary	Dir. of Title IV C
09	01	* ADE 41-114	2	Completion Report	Dir. of Title IV C

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PART II

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SPECIAL EDUCATION

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Completed Form Mail To:
				STATE PROGRAM APPLICATION	
02	01	ADE 35-001	2	Annual Appl. for Appr. of Special Ed. Programs	Dir. of Spec. Ed.
				STATE PROGRAM REPORTS	
As Needed		ADE 35-101	4	Contract with Private Agency	Dir. of Spec. Ed.
04	01	ADE 35-302	1	Provisional Certification Supervision	Dir. of Spec. Ed.
04	01	ADE 35-303	1	Supervisor's Assessment of Spec. Ed. Teachers	Dir. of Spec. Ed.
10	01	ADE 35-102	1	Special Education Census	Dir. of Spec. Ed.
02	01	ADE 35-102	1	Special Education Census	Dir. of Spec. Ed.
04	15	ADE 35-102	1	Special Education Census	Dir. of Spec. Ed.
				FED. PROGRAM APPLICATION	
As Needed		+* ADE 30-001	3	Statement of Assur. - Gen. Ed. Programs	Gen. Ed. Div.
As Needed		* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Dir. of Spec. Ed.
As Needed		* ADE 41-114	2	Special Project Fiscal Report (Budget)	Dir. of Spec. Ed.
As Needed		* ADE 40-004	1	Estimated Needs - Fund Payment Sched.	Dir. of Spec. Ed.
As Needed		* ADE 40-002	1	Capital Outlay	Dir. of Spec. Ed.
As Needed		ADE 35-104	1	Project Participants	Dir. of Spec. Ed.
As Needed		* ADE 30-006	1	Program Format - Needs Assessment	Dir. of Spec. Ed.
As Needed		* ADE 30-007	1	Program Format - Description	Dir. of Spec. Ed.
As Needed		* ADE 30-008	1	Program Format - Dissemination	Dir. of Spec. Ed.
As Needed		* ADE 30-009	1	Program Format - Calendar of Events	Dir. of Spec. Ed.

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SPECIAL ED. (Cont'd.)

* Multi-use common forms + One submission covers all Gen. Ed. programs

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM REPORTS	
05	01	ADE 30-005	1	Statement of Intent to Partic.	Dir. of Spec. Ed.
Monthly	15	ADE 35-105	1	Non-Public Sch. Claim for Payment (Voucher)	Dir. of Spec. Ed.
06	15	ADE 35-500	1	Application Prior Gifted Program Approval	Dir. of Spec. Ed.
09	21	ADE 35-304	1	Name & Address of Provisional Certified Teachers	Dir. of Spec. Ed.
As Needed		ADE 35-103	2	Application for Permanent Voucher	Dir. of Spec. Ed.
As Needed		ADE 35-200	1	Request for Child Find Advocate	Dir. of Spec. Ed.
As Needed		ADE 35-201	1	Agency Service Census (Child Find)	Dir. of Spec. Ed.
As Needed		ADE 35-301	1	Approval for Out of State Spec. Ed. School	Dir. of Spec. Ed.
As Needed		ADE 35-700	2	Appl. for Participation-Evaluation-ADDP	Dir. of Spec. Ed.
As Needed		ADE 35-701	1	Referral for Evaluation-ADDP	Dir. of Spec. Ed.
As Needed		ADE 35-702	1	Evaluation Summary Sheet	Dir. of Spec. Ed.
04	30	ADE 35-306	4	Annual Application for Approval of Private Spec. Ed. Sch.	Dir. of Spec. Ed.
02	15	ADE 35-305	1	Handicapped (P.L. 89-313)	Dir. of Spec. Ed.
03	31	ADE 35-305	1	Handicapped (P.L. 89-313)	Dir. of Spec. Ed.

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GEN. ED. TECHNICAL ASSISTANCE SERVICES

* Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
05	09	ADE 33-401	3	Appl. for Driver Ed. Approval	Dir. of Driver Ed.
09	26	ADE 33-402	2	Free Loan Driver Ed. Car Survey	Dir. of Driver Ed.
09	15	ADE 33-604	2	Commercial Exhibitors Contract Agreement	Dir. Technical Serv.
09	15	ADE 33-605	1	Booth Reservation Form (Schools)	Dir. Technical Serv.
As Needed		ADE 33-200	1	ADE Film Booking Slip	Dir. Technical Serv.
As Needed		ADE 33-300	1	Right to Read LEA Contract	Dir. Technical Serv.
As Needed		ADE 33-700	1	Consultant Cadre Indentification Form	Dir. Technical Serv.
As Needed		ADE 33-701	1	C.C. Expense Reimbursement Form	Dir. Technical Serv.
As Needed		ADE 33-702	1	C.C. Individual Appraisal	Dir. Technical Serv.
10	10	ADE 33-703	1	Inservice Training-Metric Systems	Dir. Technical Serv.
10	01	ADE 33-600	1	Nomination for Teacher of the Year	Dir. Technical Serv.
02	01	ADE 33-601	1	State Reading Achievement Program	Dir. Technical Serv.
10	10	ADE 33-602	1	Free Enterprise - List of Materials	Dir. Technical Serv.
As Needed		OE 5354	15	Appl. for Grant - Right to Read	Dir. Technical Serv.

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PART II

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ENTITLEMENT

* Multi-use common forms + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 22-100	1	ENTITLEMENT	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form for Appl./Amend.	Div. of Voc. Ed.
01	02	ADE 22-006	1	District Voc. Ed. Program Summary	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement, Project Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Line and Specific Responsibility	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs/Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

WORK EDUCATION RFP

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 21-201	81	WORK EDUCATION R.F.P.	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form for Appl./Amend.	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs/Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.

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* Multi-use common forms   + One submission covers all Voc. Ed. programs.

AREA VOC. ED. - SECONDARY

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 22-107	1	AREA VOC. ED. CENTERS - INTERDISTRICT ATTEND, SECONDARY	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form, Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs/Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM APPLICATION	Area Voc. Ed. - Postsecondary
01	02	ADE 22-118	1	AREA VOC. ED. CENTERS, INTERDISTRICTS ATTEND, POSTSECONDARY	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form, Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.

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PART II

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CONSUMER AND HOMEMAKING

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 22-203	1	CONSUMER AND HOMEMAKING PROJECT	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form, Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Program Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibilities	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

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WORK STUDY PROGRAM

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 22-205	1	WORK STUDY PROGRAM VOC. ED.	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form, Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORT	
As Needed		ADE 22-128	1	Work-Study Training Memorandum	Div. of Voc. Ed.
06	15	ADE 22-129	1	Work-Study Report	Div. of Voc. Ed.
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

FIELD COORDINATORS

* Multi-use common forms + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form to:
				PROGRAM APPLICATION	
01	02	ADE 22-610	1	Vocational Education Field Coordinators Application	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement and Project Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Line and Responsibility	Div. of Voc. Ed.
01	02	ADE 40-003	2	Intergovernmental Agreement	Div. of Voc. Ed.

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PART II

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EDUCATION PROFESSIONS
DEVELOPMENT ACT

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 25-312	1	Professional Development Application Cover Sheet	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form - Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Program Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibilities	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				Other Federal Forms as Needed	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

NEW PROGRAMS PLAN

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
12	31	ADE 22-208	3	Preliminary Proposal/Application Career Preparation (Part I of II)	Div. of Voc. Ed.
01	02	ADE 22-208	1	NEW PROGRAM FOR VOC. ED. (Part II of II)	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form, Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Program Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibility	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

CONTRACTED INSTRUCTION PLAN

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 22-209	1	CONTRACTED INSTRUCTION PLAN FOR VOC. ED.	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form - Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

DISADVANTAGED AND HANDICAPPED

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 24-202	1	PROGRAM FOR DISADVANTAGED AND HANDICAPPED	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval Form - Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Program Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibility	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

CURRICULUM DEVELOPMENT

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 25-312	1	Professional Development Application Cover Sheet	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurance	
01	02	* ADE 40-100	1	Project Approval Form - Appl. and Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Program Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibilities	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs - Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	Div. of Voc. Ed.
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

TEACHER EDUCATION

* Multi-use common forms + One submission covers all Voc. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM APPLICATION	
01	02	ADE 25-312	1	Professional Development Application Cover Sheet	Div. of Voc. Ed.
01	02	+* ADE 22-001	3	Statement of Assurances	Div. of Voc. Ed.
01	02	* ADE 40-100	1	Project Approval, Appl./Amend.	Div. of Voc. Ed.
01	02	* ADE 22-002	1	Needs Statement - Project Description	Div. of Voc. Ed.
01	02	* ADE 22-003	1	Goals and Objectives	Div. of Voc. Ed.
01	02	* ADE 22-004	1	Activities	Div. of Voc. Ed.
01	02	* ADE 22-005	1	Time Lines and Specific Responsibility	Div. of Voc. Ed.
01	02	* ADE 41-114	2	Special Project Fiscal Report (Budget)	Div. of Voc. Ed.
01	02	* ADE 22-401	1	Detailed Expenditure Report	Div. of Voc. Ed.
01	02	* ADE 40-002	1	Equipment - Capital Outlay	Div. of Voc. Ed.
01	02	* ADE 40-004	1	Estimated Needs/Payment Schedule	Div. of Voc. Ed.
				FED. PROGRAM REPORTS	
10	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
03	15	* ADE 41-114	2	Periodic Report	Div. of Voc. Ed.
07	09	* ADE 41-114	2	Completion Report	Div. of Voc. Ed.

* Multi-use common forms   + One submission covers all Voc. Ed. programs.

MISC. VOC. ED. REPORTS

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				FED. PROGRAM REPORTS (MISC.)	
As Needed		ADE 22-300	1	Vocational Student Enrollment Card	Dir. of Voc. Ed.
As Needed		ADE 22-301	1	Vocational Class Enrollment	Div. of Voc. Ed.
As Needed		ADE 22-302	1	Secondary Former Student Questionnaire	Div. of Voc. Ed.
As Needed		ADE 24-100	1	Application for an Approved Arizona Voc. Ed. Course for Adults	Div. of Voc. Ed.
02	15	ADE 23-102	4	Final Report of Supervised Occupation Experience	Div. of Voc. Ed.
06	15	ADE 23-103	1	Summer Plan of Teachers on Extended Contracts	Div. of Voc. Ed.
01	02	ADE 22-106	1	Exemplary Project Plan - Letter of Intent	Div. of Voc. Ed.
As Needed		ADE 21-600	1	Specialty Field Available	Clearinghouse
As Needed		ADE 21-601	1	Specialty Field Goals	Clearinghouse
As Needed		ADE 21-602	1	Personnel Available	Clearinghouse
As Needed		ADE 21-603	1	Personnel Update	Clearinghouse
As Needed		ADE 22-303	1	Post Secondary Student Questionnaire	Div. of Voc. Ed.
As Needed		ADE 22-304	1	Post Secondary Student Questionnaire (Follow up)	Div. of Voc. Ed.
As Needed		ADE 22-305	1	Adult Former Student Questionnaire	Div. of Voc. Ed.
As Needed		ADE 22-306	1	Adult Former Student Questionnaire (Follow up)	Div. of Voc. Ed.

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PART II

BY RECEIVING OFFICE

CAREER ED. RFP

* Multi-use common forms + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				PROGRAM APPLICATION	
03	24	ADE 21-001	83	Career Education RFP	Div. of Career Ed.
03	24	* ADE 40-100	1	Project Appl./Amend. Cover Sheet	Div. of Career Ed.
03	24	ADE 21-002	1	Student and LEA Staff Impact	Div. of Career Ed.
03	24	ADE 21-003	1	Student and LEA Staff Impact (Cont'd.)	Div. of Career Ed.
03	24	ADE 21-004	1	Qualifications of Proposed Staff	Div. of Career Ed.
03	24	ADE 21-005	1	Participating School Districts	Div. of Career Ed.
03	24	ADE 21-006	1	Goal Priority and Clustering	Div. of Career Ed.
03	24	* ADE 22-005	1	Time Line and Specific Responsibility	Div. of Career Ed.
03	24	ADE 21-007	1	Budget Analysis	Div. of Career Ed.
03	24	* ADE 41-114	2	Special Projects Budget and Fiscal Report	Div. of Career Ed.
03	24	ADE 21-008	1	Resolution	Div. of Career Ed.
				PROGRAM REPORTS	
01	15	* ADE 41-114	2	Periodic Report	Div. of Career Ed.
07	15	* ADE 41-114	2	Periodic Report	Div. of Career Ed.

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PART II

BY RECEIVING OFFICE

GENERAL OPERATIONS
ADMINISTRATIVE SERVICES

* Multi-use common forms

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				STATE FORMS - ALL DISTRICTS	
As Needed		ADE 40-003	3	Intergovernmental Agreement	All Cooperative Programs
06	18	ADE 41-105	1	Claim Exemp. from Establishing Kindergatn.	Dir. of Admin. Services
As Needed		ADE 41-106	1	Absence Appr. Request to Adjust ADM	Dir. of Admin. Services
06	18	ADE 41-108	1	Election for Special Budget Increases	Dir. of Admin. Services
As Needed		ADE 41-109	1	Report of Bond Election Results	Dir. of Admin. Services
06	01	* ADE 41-110	3	Proposed Sch. Dist. Annual Budget	County School Office
06	18	* ADE 41-110	3	Adopted Sch. Dist. Annual Budget	County School Office
09	05	* ADE 41-112	1	Budget Summary Worksheet - Revenue	County School Office
06	18	* ADE 41-113	1	Budget Summary Worksheet - Expenditures	County School Office
07	31	ADE 41-502	1	Pupil Transportation - Bus Inventory	Dir. of Admin. Services
08	15	ADE 41-202	12	Annual Report Summary Worksheets	Dir. of Admin. Services
11	01	ADE 41-200	3	State Summary of Private and Parochial Sch. Survey	Dir. of Admin. Services
10	15	ADE 41-204	1	Sch. Dist. Employee Report	Dir. of Admin. Services
03	15	ADE 41-501	1	Pupil Transportation - Route Report	Dir. of Admin. Services
As Needed		ADE 41-006A	1	Register Activation Report	Data Processing Center
As Needed		ADE 41-006B	1	Membership Absence Report	Data Processing Center
08	01	ADE 41-006C	1	Annual Days in Session	Data Processing Center
10	01	ADE 41-201	1	Enrollment/Membership Report	Data Processing Center
End of Second Reporting Period		ADE 41-301	1	Enrollment/Membership Report	Data Processing Center
05	15	ADE 41-107	1	Estimated Membership Info. for State Aid	Data Processing Center

GENERAL OPERATIONS
PROGRAMS

*Multi-use common forms   + One submission covers all Gen. Ed. programs.

Form Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
As Needed		ADE 31-301	1	Johnson O'Malley Program Application	Dir. of Indian Ed.
As Needed		ADE 31-302	1	Indian Enrollment (JOM)	Dir. of Indian Ed.
As Needed		ADE 31-303	1	JOM Eligible Indian Enrollment and First Eight Months' Average Membership	Dir. of Indian Ed.
As Needed		ADE 31-305	1	Instructional Cost for Out-of-State Contract Pupils in Peripheral Dormitory Program FY ____	Dir. of Indian Ed.
As Needed		ADE 31-307	1	Instructional Costs for Out-of-District Pupils in Peripheral Program	Dir. of Indian Ed.
10	30	ADE 31-308	1	American Indians Enrolled in Public Schools, Title IV, Part A, P.L. 92-318	Dir. of Indian Ed.

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PART II

BY RECEIVING OFFICE

GENERAL OPERATIONS
PROGRAMS

* Multi-use common forms   + One submission covers all Food & Nutrition programs.

Form Due Date Mo Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
As Needed	ADE 45-101	1	Program Appl[illegible] Sheet	Dir. of Food & Nutrition
As Needed	ADE 45-102	1	New Participants - [illegible] lunch, breakfast and Spec. Milk	Dir. of Food & Nutrition
As Needed	ADE 45-103	1	School lunch, breakfast and Spec. Milk - School Sites and Participants	Dir. of Food & Nutrition
As Needed	ADE 45-104	3	Food Service and Assurances Agreement	Dir. of Food & Nutrition
As Needed	ADE 45-105	1	Free and Reduced Policy - NSL, B and SM	Dir. of Food & Nutrition
As Needed	ADE 45-106	1	Simplified Free and Reduced Price Policy for Non-pricing Programs	Dir. of Food & Nutrition
As Needed	ADE 45-109	1	Report of USDA Food Loss	Dir. of Food & Nutrition
As Needed	ADE 45-113	5	Non-Food Assistance Application	Dir. of Food & Nutrition
As Needed	ADE 45-114	1	Claim for Non-Food Assistance Reimbursement	Dir. of Food & Nutrition
As Needed	ADE 45-115	1	Site Information Sheet - Child Care Food Program	Dir. of Food & Nutrition
As Needed	ADE 45-116	3	Management Plan for Sponsoring Organization (Child Care)	Dir. of Food & Nutrition
As Needed	ADE 45-117	1	Child Care Food Program Participant Info.	Dir. of Food & Nutrition
As Needed	ADE 45-119	2	Sponsor Info. Summer Food Service	Dir. of Food & Nutrition
As Needed	ADE 45-120	1	Financial and Admin. Plan - Summer Service	Dir. of Food & Nutrition
As Needed	ADE 45-121	1	Summer Camp - Donated Foods/Spec. Milk	Dir. of Food & Nutrition
As Needed	ADE 45-122	1	Reimbursement Claim - Summer Food Program	Dir. of Food & Nutrition
As Needed	ADE 45-123	1	Advance Funding Claim - Summer Food Program	Dir. of Food & Nutrition
Monthly 10	ADE 45-002	1	Reimbursement Computation	Dir. of Food & Nutrition
Monthly 10	ADE 45-107	1	Reimbursement Claim	Dir. of Food & Nutrition
Nov-Apr 5	ADE 45-108	1	Oct-March Estimates for Free Lunch	Dir. of Food & Nutrition
Monthly 10	ADE 45-118	1	Reimbursement Claim - Child Care Program	Dir. of Food & Nutrition

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GENERAL OPERATIONS
PROGRAMS

* Multi-use common forms

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				STATE FORMS	
As Needed		HEW 608T	3	Guidelines for Developing Proposal Abstracts	State School Board
04	15	OE 4017-1	6	Appl. for Financial Assistance for Public Sch. Const.	Gen. Operations Programs
05	15	OE 4017-2	6	Summary of Sch. Const. Projects for which Application for funds is made	Gen. Operations Programs
01	31	OE 4019	6	Appl. for Sch. Assistance in Federally Affected Areas	Federal Area Office
09	30	OE 4037	2	Report for Determining Final Payment Pursuant to Title I of P.L. 81-874	Gen. Operations Programs

PART II
GENERAL OPERATIONS
SPECIAL PROGRAMS

08	20	ADE 41-001	1	Third Grade Reading Test Materials	Gen. Op. Special Program
08	20	ADE 41-002	1	Fifth Grade Math Test Materials	Gen. Op. Special Program
06	20	ADE 41-800	1	CUES Progress Report	Gen. Op. Special Program
06	06	ADE 41-801	1	CUES Periodic Report	Gen. Op. Special Program

BUSINESS & FINANCE

* Multi-use common forms

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
06	20	ADE 46-001	1	State Financial Aid Certificates of Educational Convenience Claim	Dir. of Bus. & Finance
05	30	ADE 46-002	2	State Financial Aid for Educating Pupils of Parents Employed by State Institutions Claim	Dir. of Bus. & Finance
06	20	ADE 46-003	1	State Financial Aid for Students From Unorganized Territories Claim	Dir. of Bus. & Finance
As Needed		ADE 41-104	1	Certificate of Educational Convenience	Dir. of Bus. & Finance

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PART II

BY RECEIVING OFFICE

COUNTY SCHOOL SUPT.

* Multi-use common forms

Form Due Date Mo	Form Due Date Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
				STATE FORMS - ALL DISTRICTS	
06	30	ADE 40-001	1	Advice of Encumbrance	County Sch. Supt.
As Needed		ADE 41-130	1	Certificate of Excuse for Non-Attendance	County Sch. Supt.
As Needed		ADE 41-207	1	Affidavit	County Sch. Supt.
As Needed		ADE 41-510	1	Sch. Dist. Travel Expense Claim	County Sch. Supt.
As Needed		ADE 40-101	1	Ariz. School District Voucher	County Sch. Supt.
As Needed		ADE 40-102	1	Ariz. Sch. Dist. Voucher Supplement Expense	County Sch. Supt.
As Needed		ADE 40-103	1	Ariz. Sch. Dist. Voucher Suppl Capital Projects Expense	County Sch. Supt.
As Needed		ADE 40-104	1	Ariz. Sch. Dist. Voucher Suppl. (Cont'd) Expense	County Sch. Supt.
As Needed		ADE 40-105	1	Ariz. Sch. Dist. Voucher Suppl. - Payroll	County Sch. Supt.
As Needed		ADE 40-106	1	Ariz. Sch. Dist. Voucher Suppl. (Cont'd.) Payroll	County Sch. Supt.

Form Number	Pages	Title	DO NOT RETURN TO ADE
		STATE FORMS - ALL DISTRICTS	
ADE 23-100	1	Final Report of Student Supervised Occupational Experiences	District Use Only
ADE 30-001, PA	3	Private Non-Profit Schools Statement of Assurances to Public Sch.	District Use Only
ADE 40-111	1	High School Attendance Record Card	District Use Only
ADE 40-112	1	High School Attendance Record Card (Cont'd.)	District Use Only
ADE 41-006	1	Arizona Public School Register	District Use Only
ADE 41-115	1	Election Notice	District Use Only
ADE 41-116	1	Certificate of Election of School Trustee	District Use Only
ADE 41-122	1	Certificate of High School Record	District Use Only
ADE 41-123	1	Official Notice of Pupil Withdrawal	District Use Only
ADE 41-124	1	Tally Sheet-Poll List	District Use Only
ADE 41-125	1	Budget Ledger	District Use Only
ADE 41-126	1	Fund Ledger	District Use Only
ADE 41-127	1	Revenue Ledger	District Use Only
ADE 41-128	1	Cash Control Ledger	District Use Only
ADE 41-129	1	Warrant Ledger	District Use Only
ADE 41-203	1	Certificate of Appointment - School Trustee	District Use Only
ADE 41-206	1	Certificate of Election of President and Clerk	District Use Only
ADE 41-210	1	Probationary Teacher's Contract	District Use Only
ADE 41-211	1	Continuing Teacher Contract	District Use Only
ADE 41-500	1	Bus Driver's Contract	District Use Only

NOTE: The review committees were not originally charged to review voluntary forms for format or content. The review concept will be expanded to include this class of forms.

Voluntary Forms: Are those forms that are not mandated by law or board policy but are consistent to educational inquiry and administrative practices initiated by educational institutions, the Department, and professional educators, such as: research projects, questionnaires, cost analysis, legislative inquiry, etc.

Example ADE 41-505: Some school districts desire to participate in a state contract price agreement with the Division of Finance (State Statute 41-731) in the purchase of new buses. The ADE in this case becomes a vehicle of service for the school district and the Department of Finance.

VOLUNTARY FORMS

From Due Date Mo	Da	Form Number	No. of Pages	Form Title	Mail Completed Form To:
As Needed		ADE 21-600	1	Specialty Field Available	Clearing House
As Needed		ADE 21-601	1	Specialty Fields Closed	Clearing House
As Needed		ADE 21-602	1	Personnel Available	Clearing House
As Needed		ADE 21-603	1	Personnel Update	Clearing House
10	01	ADE 33-600	1	Nomination for Teacher of the Year	Div. of Gen. Ed.
02	01	ADE 33-601	1	Statewide Reading Achievement Program	Div. of Gen. Ed.
10	10	ADE 33-602	1	Compilation of Free Enterprise Data	Div. of Gen. Ed.
09	15	ADE 33-604	2	Commercial Exhibitors Contract Agreement	Div. of Gen. Ed.

VOLUNTARY FORMS (Cont'd.)

Form Due Date	Form Number	No. of Pages	Form Title	Mail Completed Form To:
As Needed	ADE 33-700	1	Consultant Cadre Indentification Form	Div. of Gen. Ed.
As Needed	ADE 33-701	1	Consultant Cadre Reimbursement Form	Div. of Gen. Ed.
As Needed	ADE 33-702	1	Consultant Cadre Service Individual Appraisal	Div. of Gen. Ed.
10 10	ADE 33-703	1	Appl. Metric Inservice Training	Div. of Gen. Ed.
As Needed	ADE 33-300	1	Az R. to R. Support of National R. to R.	Div. of Gen. Ed.
94 09	ADE 33-402	2	Free Loan Driver Ed. Car Survey	Div. of Gen. Ed.
As Needed	ADE 35-200	1	Request for Child Find Advocate	Div. of Spec. Ed.
As Needed	ADE 35-201	1	Agency Service Census	Div. of Spec. Ed.

Student Clubs VOLUNTARY Student Clubs VOLUNTARY

Part V
Student Clubs

Form Due Date	Form Number	No. of Pages	Form Title	Mail Completed Form To:
As Needed	ADE 22-251	2	Conference Registration	Career and Voc. Ed.
As Needed	ADE 22-252	2	Housing Form	Career and Voc. Ed.
As Needed	ADE 22-253	2	Registration for Individual Skill and Leadership Events	Career and Voc. Ed.
As Needed	ADE 22-254	1	Consent Form	Career and Voc. Ed.
As Needed	ADE 22-255	1	Suggested Judges for Competitive Events	Career and Voc. Ed.
As Needed	ADE 22-256	1	Speakers Bureau	Career and Voc. Ed.
As Needed	ADE 22-257	1	Nomination for Adult Recognition	Career and Voc. Ed.
As Needed	ADE 22-258	3	Scholarship Application	Career and Voc. Ed.
As Needed	ADE 22-259	2	State Officer Candidate Nomination Form	Career and Voc. Ed.
As Needed	ADE 22-260	1	Report on State Officer's Chapter Visit	Career and Voc. Ed.

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ARIZONA DEPARTMENT OF EDUCATION

DATA ACQUISITION FORM REVIEW
COVER SHEET AND ADVANCE PRINTING NOTICE

SEND TO:
ORIGINAL COPY
TO
DATA ACQUISITION UNIT

DATE: ____________ Received

____________ DAAC Review

1. Title ____________________________

2. Form No. Assigned ______________ 3. Due Date From User ______________

4. Originator ____________________________ Name of Unit

5. Signature of Approval ____________________________ Deputy Associate or Authorized Agent

6. Purpose:

☐ REQUIRED – by Statute, Public Law, or Rules and Regulations

☐ REQUIRED – by Statute for Other Agencies

☐ NECESSARY – Deemed Logically Unavoidable by ADE to Function as an Agency

☐ VOLUNTARY – Desirable but Response is at Option of User

7. Status:

☐ Correction of Current Form ☐ One Time Survey

☐ New Form ☐ Annual Review

8. DUPLICATING REQUIREMENTS: Obtain printing priority from proper authority if delivery expectation is less than 10 days after review approval.

Quantity ______________ This is a Reorder ☐ Date Desired ______________

Special Paper ______________ Color ______________

Composer Typing ☐ NCR Paper ☐ To Be Contracted Outside ☐

REVIEW COMMITTEES ACTION

IRAC	DAAC	CABINET
Date ________ Date ________ Date ________	________ ________	________
☐ Approved	☐ Approved	☐ Approved

ADE 141-300, REV 9/76

PAGE 1 OF 1

DATA ACQUISITION FORM REVIEW

COVER SHEET AND PRINTING APPROVAL

SEND TO:
Data Acquisition Unit
School Finance and Stat. Section
Administrative Services Division

DUE DATE: As Needed

1. Originator ______________________________
Name of Unit

2. Signature of Approval ______________________________
Unit Deputy Associate

3. Form No. Assigned ______________ 4. Due Date of Form ______________

5. Title ______________________________

6. Estimated No. of Forms Needed ______ 7. Date Required from Printing ______

8. Complete Form _____ or Part of Packet _____ (Check One)

9. Purpose of Data Collected
☐ Federal Program Application
☐ Federal Program Report
☐ State Program Application
☐ State Program Report
☐ State Law Requirement of All Districts
☐ Other ______________________________

10. Status
☐ No Change from Previous Form
☐ Revision of Previous Form
☐ New Form
☐ Survey (One-Time)

REVIEW COMMITTEES ONLY

IRAC	DAAC	CABINET
Date ________ Date ________ Date ________	________ ________	________

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PAGE 1 OF 1

DATE ISSUED May 1977	ARIZONA DEPARTMENT OF EDUCATION **POLICY & PROCEDURE**	NO. GE-1
SUPERSEDES May 1976		SHEET 1 OF 5

SUBJECT

DATA ACQUISITION FORMS APPROVAL

FILING INSTRUCTIONS
(Policies & Procedures Manual)
Section GENERAL
As item GE-1

I. POLICY

All data collection instruments, state or federal, distributed by or under the sponsorship of Arizona Department of Education staff members to personnel, parties, or organizations outside the Arizona Department of Education must be submitted for review and authorization, prior to distribution, in accordance with this Policy and Procedure. This includes all distributions requesting data from public schools, nonprofit private schools, private agencies, community colleges, educational units of colleges or universities, student organizations and other state agencies.

II. DATA COLLECTION INSTRUMENT DEFINED

A data collection instrument is defined as any form, application, memoranda, or other device which requests the above parties to collect and report data to the Arizona Department of Education. The following types of instruments are subject to the policy and procedure covered in this document:

A. Recurring reports - reports due more frequently than once yearly.

B. One-time survey report - an instrument which has been prepared to collect data one time only and which is not intended to be used on a recurring basis.

C. Emergency report - an instrument, which due to time constraints, cannot be processed through normal review and authorization processes and is approved in a Quick Response Review Committee.

D. Occasional reports - reports for which no due date has been established. These reports are either filed as needed by the districts or are filed at a date determined by the appropriation and release of Federal funds.

III. REVIEW AND AUTHORIZATION DEFINED

A. Review entails the consideration for approval/disapproval of data collection activities and the technical analysis of format, content, and other special techniques or methods used in conjunction with instruments in order to gather, process, or analyze data.

B. Authorization is the determination that sufficient justification exists in law, regulation, or program needs to permit the distribution of a data collection instrument to the intended respondents.

DATE ISSUED May 1977	**ARIZONA** **DEPARTMENT OF EDUCATION**	NO GE-1
SUPERSEDES May 1976	**POLICY & PROCEDURE**	SHEET 2 OF 5
SUBJECT	DATA ACQUISITION FORMS APPROVAL	FILING INSTRUCTIONS (Policies & Procedures Manual) Section GENERAL As item GE-1

IV. REVIEW AND AUTHORIZATION SCHEDULING

Review and authorization must be obtained:

A. When new data collection instruments are developed. This would include one-time surveys and emergency instruments, each with an expiration date of six months.

B. When revising existing instruments to add or delete data or to make changes in format.

C. When eliminating or consolidating one or more data collection instruments.

D. Annually - Instruments previously approved and currently in use must be re-authorized annually prior to distribution in each fiscal year. Authorization will not exceed a twelve-month period.

V. PROCEDURE

	Performed By	Action
	A. Originator (Person initiating or responsible for the use of the data collecting instrument).	1. Prepares draft of new or revised data collection instrument.
R		2. Prepares, in triplicate, Form No. ADE-141-300 Data Acquisition Form Review (copy attached).
R		3. Obtains signature of Associate Superintendent or authorized agent.
R	B. Associate Superintendent	1. Approves or rejects.
R	C. Originator	1. Submits three copies of Form ADE-141-300 and 10 copies of data collection instrument to the Data Collection Forms Clearance Unit.
R	D. Data Collection Unit	1. Forwards No. 3 copy of Form ADE-141-300 to Duplicating Services as advance info copy. Retains No. 1 and 2 copies.
R		2. May make recommendations for the consolidation of data collection instruments to minimize duplication.

R = Revised

DATE ISSUED May 1977	ARIZONA DEPARTMENT OF EDUCATION **POLICY & PROCEDURE**	NO. GE-1
SUPERSEDES May 1976		SHEET 3 OF 5
		FILING INSTRUCTIONS (Policies & Procedures Manual) Section GENERAL At item GE-1
SUBJECT DATA ACQUISITION FORMS APPROVAL		

3. May make recommendations to simplify reporting requirements and reporting formats.

4. Provides technical assistance in the development and design of data collection instruments and activities.

R 5. Schedules reviews with internal and external review committees. The internal review committee entitled the Information Review Administrative Committee (IRAC) is a standing committee of four, one member selected by each of the Associate Superintendents. If the instrument is intended for data collection from public schools and/or nonprofit private schools, an external review is scheduled with the Data Acquisition Advisory Committee (DAAC), a standing committee of 15 selected from County and School District Superintendents and Business Managers. If the data collection instrument requests data from community colleges, educational units of universities, private agencies, student organizations, other state agencies, or any group other than public and nonprofit private schools, the external review is scheduled with a Functional Review Committee selected from the respondent groups.

E. Information Review Administration Committee (IRAC)

1. Reviews instrument.

2. Delegates Data Collection Forms Clearance Unit to convey one of the following actions:

   a. Approve instrument as submitted and pass on to the appropriate external review committee.

   b. Approve with additions, revisions, and/or deletions.

   c. Reject.

R = Revised

DATE ISSUED May 1977 SUPERSEDES May 1976	**ARIZONA DEPARTMENT OF EDUCATION** **POLICY & PROCEDURE**	NO GE-1 SHEET 4 OF 5
SUBJECT: DATA ACQUISITION FORMS APPROVAL		FILING INSTRUCTIONS (Policies & Procedures Manual) Section GENERAL As item GE-1

F. Data Collection Unit

1. Informs Originator if IRAC rejects or approves.

R 2. Negotiates with Originator to determine if IRAC recommendations for additions, revisions, and/or deletions are acceptable. If acceptable, the review process continues with the external review committee.

3. If rejection or recommendations are not acceptable to the Originator, he/she may request review by the Superintendent's Cabinet.

G. External Review Committee (Data Acquisition Advisory Committee DAAC, or Functional Advisory Committee).

1. Reviews instrument and IRAC comments.

2. Delegates Data Collection Forms Clearance Unit to convey one of the following actions:

   a. Approve instrument as submitted.

   b. Approve with additions, revisions, and/or deletions.

   c. Reject.

H. Data Collection Unit

1. May resubmit to IRAC if external review actions differ significantly.

2. Informs Originator if external review committee rejects or approves (also any further IRAC actions).

3. Negotiates with Originator to determine if external review recommendations for additions, revisions, and/or deletions are acceptable.

4. If rejection or external review recommendations are not acceptable to the Originator, he/she may request review by the Superintendent's Cabinet.

R = Revised

DATE ISSUED May 1977	ARIZONA DEPARTMENT OF EDUCATION **POLICY & PROCEDURE**	NO GE-1
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SUBJECT: DATA ACQUISITION FORMS APPROVAL		FILING INSTRUCTIONS (Policies & Procedures Manual) Section GENERAL As item GE-1

5. Prepares and distributes minutes of all review meetings (IRAC, DAAC, etc.) to all Originators.

R 6. Arranges for preparation of approved master copy.

R 7. Prepares Copy Request Form ADE-143-500 or Duplicating Services Request Form ADE-DUP-4 and forwards to Print Shop with master copy. (no Advance Printing Approval is required).

R 8. Stamps No. 2 copy of Form ADE-141-300 when forms are printed and in stock and forwards No. 2 copy to Originator. Retains No. 1 original on file.

VI. NOTATIONS

A. IRAC and DAAC committees usually meet the last week of the month.

B. The review and approval procedure usually takes 40 days.

C. Quick Response Review Committees, IRAC and DAAC, (3 in each group) are established for emergency approvals, where necessary.

D. Printed forms are stored by Duplicating Services and may be ordered by form number.

E. If Print Shop service is required for collating forms drawn from inventory, allow at least 5 days for delivery.

F. Adequate inventories can be maintained if Originator allows sufficient lead time in the planning process.

G. No Advance Printing Approval is required for data acquisition forms processed under this procedure. Originator need not be involved in preparing master copy, Copy Request, or Duplicating Services Request.

R = Revised

ARIZONA DEPARTMENT OF EDUCATION

DATA ACQUISITION FORM REVIEW
COVER SHEET AND ADVANCE PRINTING NOTICE

SEND TO:

DATE ____________________
Received

____
DAAC Review

1. Title ____________________

2. Form No. Assigned ____________________ 3. Due Date From User ____________________

4. Originator ____________________
Name of Unit

5. Signature of Approval ____________________
Associate or Authorized Agent

6. Purpose:

☐ REQUIRED – by Statute, Public Law, or Rules and Regulations

☐ REQUIRED – by Statute for Other Agencies

☐ NECESSARY – Deemed Logically Unavoidable by ADE to Function as an Agency

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☐ New Form ☐ Annual Review

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Quantity ____________ This is a Reorder ☐ Date Desired ____________

Special Paper ____________ Color ____________

Composer Typing ☐ NCR Paper ☐ To Be Contracted Outside ☐

REVIEW COMMITTEES ACTION

IRAC	DAAC	CABINET
Date ________ Date ________ Date ________	________ ________	________
☐ Approved	☐ Approved	☐ Approved

ADE 141-300, REV 9/76

STATEMENT OF MRS. CAROLYN WARNER, SUPERINTENDENT, ARIZONA STATE DEPARTMENT OF EDUCATION

Mrs. **Warner**. Mr. Chairman, thank you for the opportunity of being here today. I think it is appropriate that this be the day that we have an opportunity to share some of our concerns in this area. Mr. Horton indicated that we are examining what we have wrought, and I think that the first public telegraph message sent was sent in about 1844, and the words were, "What hath God wrought," so perhaps it is a day to question what Congress and the Administration has indeed done to public education.

I thank you for the opportunity, and I would like to encourage you by saying Federal paperwork can be cut and at the same time without loss of information or knowledge that is needed upon which decisions must be based. The reason I say this is it is not a matter of fantasy, nor is it a fond hope. It is indeed a fact, and we have done it in the State of Arizona.

In May of 1975, we were at that time working on attempting to look at the problem with a very simple directive from the Superintendent of Public Instruction that we were going to cut paperwork by 50 percent. Now that is a ridiculous statement, and the figure plucked directly from the air and yet amazingly enough when administration is committed to a concept, it is astonishing what staff can do. Commitment, I must say, is key, is absolutely essential, and if it is, the job can be done expeditiously and in truth beyond expectation.

Our staff were able to work in such an effective and cooperative fashion that we were able to reduce Federal paperwork in the State of Arizona by almost 60 percent. So it is neither a fantasy, nor is it a fond hope. It can be done with the will and with the commitment.

As you know, the Superintendent of Public Instruction in our state is a partisan office, elected by the people at large, and, at the time I decided to run, I made a pledge, a campaign promise, if you will, and that was that we would reduce paperwork, for the simple reason that education in the State of Arizona, as Mr. Horton has indicated is true nationwide, was being strangled by excessive paperwork. The concept of public education in our state was being thwarted by the amount of paperwork that teachers, administrators, clerical help were required to do.

So it became a serious concern of mine to establish first the goal of education, or reestablish in our state, that being to help children achieve their optimum capabilities. They were being diverted from this because they had to spend, the administration teaching staff, an undue amount of time filling out forms.

I think perhaps today we are discussing a broader question, and the broader question in truth is the serious question. The broader question is education has been the can-do institution in our country. It has been the one institution to which we turn at any given point in time to accomplish major national objectives. It has been so successful, so unbelievably successful, in America, that it has been automatically assumed that it is then the institution that can accomplish all things and virtually every burden is placed upon education.

As a result of this, I think education is terminally ill. I do not believe it can long exist and provide for this nation what it expects until and unless the effects of data reduction are seriously considered.

Once we discovered that education was the can-do institution, virtually every major change in society has been assigned to education for eventual accomplishment.

I would like to share with you today what we are attempting to do in the field of education, and I have only a very partial itemization. We are attempting to provide some of our students with consumer protection education. The integration institution of America is the public schools. We provide programs in adult and continuing education, community education, provide disadvantaged, gifted, handicapped education. We provide some of our young people with bilingual education, hot lunch, hot breakfast. Education is the largest single transportation agency on earth.

How about environmental and energy conservation education? That is the big new thing. We are expected to provide education in law, agriculture, business, driver and safety education, consumer, homemaking, distributive, cooperative, physical education. We provide some with health education, child abuse, correction education, international education, Indian education, vocational and career education, and, incidentally, we are expected to teach our young people to read, to write, and compute. I say incidentally because it is almost incidental that we get to the point that we can address the primary responsibility.

I have a second agenda that I believe we have largely ignored in the educational system in this country because we have supplanted so many overlay programs, and that is that there certainly is some responsibility, at least in my view, for public schools in the U.S. to address another 3-R's. That is rights, responsibilities, and respect. We have emphasized certain areas, but we have de-emphasized other areas, and until and unless we begin to provide our young people with the opportunity to understand that they must respect the rights of others as well as insist upon their own, that it is a 2-way street, until and unless we aid our children in understanding that we do indeed have a responsibility to them, that again is a 2-flow system, in and out, they have a responsibility to themselves and to others. And until and unless we help them to understand that they are deserving of respect as living, functioning human beings, but, in addition to that, that, too, flows both ways, and they must indeed respect others and their rights and their responsibilities.

So I will attempt to suggest to you that in our small state, and it is a small state, 2 million people, a microcosm, if you will, representing about one percent of the population of our nation, we have about 540,000 students. The taxpayer in Arizona provides approximately 92 percent of the necessary funding from state and local resources.

For proper accountability in our state, and I come from the world of business, I am interested in accountability, to assure appropriate expenditure of funds, we are required also, as a state, to collect data. Sixteen percent of the total pages required in Arizona collect the information necessary to determine whether educational funds in our state are being properly expended. Sixteen percent.

Arizona utilized in the learning process some 7-8 percent of taxpayer money from the Federal government. Federal data requirement represents 84 percent of the total pages required. We have an inverse relationship of absolutely astronomical proportions. In order to justify seven or eight percent of the money that is spent in our state for education, it generates 84 percent of the total pages of data required. I think this in and of itself is an absurdity of the utmost proportion.

So we find ourselves in the situation that is difficult for educators to understand. Where do all the data requests come from? Some from the Office of Civil Rights, the famous 101 and 102 forms; the Department of Interior; from the Office of Safety and Health Administration; from the Office of Education; Department of Agriculture; Bureau of Indian Affairs, and a variety of others.

Let me suggest, my friends, that it is apparent to me, and I am sure obvious to you, that these people are not talking to one another. They simply are not communicating. Either they are not interested or the channels of communication are closed.

Essentially the data that is being collected is identical, and yet it is coming from such a variety of sources who apparently are not sharing in any way that it continues to proliferate with each and every new program, new national incentive, and continues to proliferate at an absolutely astonishing rate.

We in Arizona were able to reduce Federal paperwork. We did it because we tried and because we were committed to it, and the way we did it very simply was to go to the victim, to go to the person who had to fill out the forms.

We committed our Department of Education to the concept of service which I believe is what government is all about. We said to them, "How can we help you operate more effectively and get back to your primary objective, which is educating young people?" We asked them to come in to the Department of Education and to assist us in order to help them make their job easier. No one said no. Everyone said yes. They committed their time and their energies to assisting in a fashion that is exemplary and at no cost to the Arizona Department of Education.

They worked with our program people to reduce paperwork, to reduce redundancy, to eliminate duplication and the most simple and obvious thing of all, to build a calendar for data collection that makes sense, that any normal business person or administrative officer would implement in their agency or in their business.

We feel that education in the State of Arizona is perhaps more healthy than it is in some other places, but we feel that education is constantly threatened by the overprotective help of the Federal government.

I have no quarrel with the programs. We indeed are making progress. I have a great deal of difficulty understanding the process or the lack of process.

In our state we need the Federal funds. We have a great need for disadvantaged in the State of Arizona. Arizona has many American Indian students, many Mexican-American students who have language difficulties. Arizona has its share of handicapped students, and we want to serve each and every student. We want to provide them with that opportunity that Thomas Jefferson spoke of, to enable ordinary citizens to become extraordinary people. We think it can happen, but we want to do that very thing.

We do not want to destroy education in our state by taking teacher time and administrative time to fill out endless forms for whatever eventual purpose some of us have yet to fathom if there is any purpose. We want to spend the time with the child in the classroom and help that child succeed. We want to help each child individually, and we are being precluded from that opportunity.

I feel that Federal paperwork is taking the opportunity of America, the great expectations we have for education, away from the child. Our energies are being diverted into filling cabinets with massive piles of paper that will be punched into computer cards to be stored somewhere, maybe to be retrieved, maybe to be evaluated, maybe to be used and maybe not. That child, at the same time that we are there to serve and for whom we collect the data, is not being served. It is a dichotomy of rather immense proportions.

I believe that the continued proliferation of paperwork is counterproductive to the overall goal of equal educational opportunity for every American child. I suggest several things.

We have developed a device, process, a way, a plan, to reduce paperwork. We have encouraged all of the people in education in the State of Arizona to share with us their concerns. I welcome and encourage you, if you have an interest, to utilize the plan.

We have been requested to submit our plan to over 300 individual agencies to share. Every state in the nation has requested a copy of our data reduction plan, and today, interestingly enough, over 670 businesses have requested a copy of our data reduction plan.

May I suggest that, in addition to the plan, for your serious consideration should you consider requiring that every Federal agency who sends a series of forms or requests data, provide a check to pay for the doing of the work along with the request, we would find some interesting happenings instantly. This would enble the local district to continue to do its work in education. That is, after all, why it is there, to work with the child, for the child, rather than collect sometimes redundant, sometimes unnecessary, and much of the time unused, data.

Should Congress consider this, I would sugggest, if possible I would guarantee, that you would see a sudden, a drastic reduction in the amount of data requested. I would further suggest that you would get more nearly to the truth of what is truly needed, of what was going to be used. If the Federal agency had to divide its own operating budget into a portion of data collection and send a portion of its budget to the victim, it would begin to make a great deal of sense to them immediately to examine and prioritize their requests.

I submit what we are talking about today is much more important than just the simple reduction of paperwork. I suggest what we are discussing here today in committee is very simply whether or not we are going to be able to allow education to survive, whether it is indeed going to be, as the endangered species, allowed to continue to function.

The institution of education is either important to this country, or it isn't. Is the education of the child, a small child, single child, in a classroom going to be given sufficient importance as compared to collecting more and more Federal paperwork?

We must enable educators to educate children in the basic skills of reading, writing, arithmetic, in the areas of career and vocational education for that world of work, and reinstitute into education the 3-R's of rights, respect and responsibility.

If the Congress of the U.S. wants these things truly to happen, then we must, you must, keep education alive, reduce the strangling, possibly terminal effect of continually increasing Federal paperwork.

I see here a commitment to that concept. We feel that we have successfully implemented a component of that, and yet we are working in opposition in many situations to Federal agencies, though finally we have received their agreement that we may reduce their forms and collect for them only the necessary data.

I want to commend you for being responsible and for being responsive. Many people feel that government is not. I find indeed your main thrust is that of responsive and responsible leadership.

Again, thank you for the opportunity, and I would be happy to share with you any of the accumulated experience we as a single state have experienced in our effort. Thank you very much.

Mr. **Le Fante** (presiding). Thank you, Mrs. Warner. I think your testimony has been most helpful. I am sure every member of the committee will review the testimony with intense interest, and I hope that perhaps we can come up with something a lot sooner than most people expect us to.

I would like to ask you one question. On page 3 of your testimony, at the very top of the page you state, "Arizona is utilizing in the learning process some 7-8 percent of the taxpayer money from the Federal government. The Federal data requirement is massive, 84 percent of the total pages required."

Would you give me some breakdown of how you define 84 percent of the total pages required? I don't think I have a complete understanding of that.

Mrs. **Warner**. Let me share with you this: We first talked about the dollars, approximately 40 million Federal dollars, approximately 400 million in state dollars, to assist the educational process in our state, and of the numbers of pages, numbers of reports, numbers of data items requested in order to substantiate, receive or provide information relative to Federal programs, that total constitutes 84 percent of the total amount of data requests that are generated for education in our state.

Mr. **Le Fante**. That is fantastic.

Mrs. **Warner**. Fantastic.

Mr. **Le Fante**. It is almost unbelievable.

Mrs. **Warner**. Virtually unbelievable, but carefully documented.

May I suggest that those small school districts in our state who say to me, "I cannot afford the luxury of Federal help" are simply stating a reality. They haven't the staff; they haven't the administrative time; they feel they can afford to take no more teacher time away from educating the children to comply with the request. It is such an onerous burden on the small school district, difficult for the larger ones, but I am finding more and more small school district administrators saying, "I cannot afford the luxury of Federal assistance."

Mr. **Le Fante**. I think if we take a good look all around us, you can apply that to almost anything the government is involved with, not only education. We were holding hearings yesterday and again this morning in the Small Business Committee on the effect of all the regulations that we impose on small business, and they are screaming that we are driving them out of business.

Here just 24 hours later, I am hearing educators and administrators tell us we are driving the school system out of business, too.

Mrs. **Warner**. May I suggest, sir, that for some 25 years my husband and I have been involved in our own small business, thanks to the Small Business Administration and a little helping hand.

It has finally, though I am no longer involved in the business, reached the point that small businesses, as you have mentioned earlier in your hearings yesterday, are in serious jeopardy; whether or not they can continue to exist is something that I indeed question, as you do. We are a small concern; we do about $2 million worth of retail business a year.

The staff that we have had to employ in order to comply with the requirements is absolutely astronomical. It raises the overhead to the point that profit was severely jeopardized. No profit, we don't exist.

Mr. **Le Fante**. I have no further questions.

Mr. Kildee?

Mr. **Kildee**. Again, no questions, just to state that I was in charge of the Department of Education budget while serving in the Michigan Legislature, and I would hope you would share your ideas with our Superintendent.

Mrs. **Warner**. You have an excellent Superintendent.

Mr. **Kildee**. Yes, John Porter is an excellent superintendent.

Mrs. **Warner**. He is indeed.

Mr. **Kildee**. Thank you very much.

Mrs. **Warner**. Thank you.

Mr. **Le Fante**. Counsel, do you have questions?

Mr. **Cross**. Thank you. I wonder if you could take a program like title I and just briefly tell us how you went about doing this? I have a hard time reading your statement and looking at the materials and really seeing or visualizing exactly the process involved; so if you could take a moment.

Mrs. **Warner**. Thank you, sir. Title I, or any other specific program, the Department of Agriculture Food and Nutrition Program, each and every program was examined individually with staff that are responsible for the administrative functioning of that entire program. We created two committees, one in-house and the other we lovingly call our out-house committee. Those are people from outside; those are the victims. They sit together. We have given an enormous amount of responsibility to the out-committee and have said to them that though your final result will not be necessarily applied, it will in 99 percent of the cases be the way we continue to operate.

Each and every data request is placed before the panel for each program, title I, for example. Each and every one of their forms are submitted to our advisory committee.

That committee then examines the forms and goes through item by item, line by line, to look for redundancy, to look for information that is repeatedly on one form and another, and another, and they eliminate them by simply blue-lining, as an editor does, those that are redundant

We have been able to reduce the number of forms by over 50 percent, the number of data items that are repetitive by over 60 percent, and the number of pages by a bit over 50 percent.

The same is true in all other programs, be it title I or any other.

Mr. CROSS. In most cases you are using a Federal form?

Mrs. WARNER. In all cases.

Mr. CROSS. What has been your relationship to the program offices in OE in terms of your attempts to cut down on what they have requested? Also, some items you say you are cutting out because they have been asked someplace else, so that the information is there. How do you get that back into the system so it is available then to those people who want it for another program?

Mrs. WARNER. We develop a retrievable system, fast retrievable ADP, and the information is stored once, not a multiplicity of times.

You asked the initial question concerning our relationship with the Office of Education, Department of Agriculture, BIA, and others. Initially it was stormy, threatening clouds all above, but as we worked with them and shared with them the work of the Department of Education, and outside educational administrators, they began to see that we were not refusing to supply information that they requested in any area.

We do then conform to each and every data request, but by eliminating redundancy, building in lead-time, eliminating duplication, and building a calendar for local school districts and their data compliance requests, we finally are operating in a far more efficient and effective fashion with the Federal offices.

As a result, I believe if you would query them, you would find that we have an excellent working relationship, a very satisfactory working relationship, supplying any information at any time on request, immediately, if needed, and certainly conforming to all of the necessary data.

Mr. CROSS. Does the State department then have all of the data for all of the school districts on tape or available in computer, and does each district then have that same information?

Mrs. WARNER. Each district has their information. If the district does not retain their information, if it is a head teacher in a school district of 100 students, obviously that person who teaches full-time handles administration and has to fill out forms, cannot retain that sophisticated a system, it is immediately available from the Department of Education, on request.

Mr. CROSS. So that teacher in that district with 100 students or smaller, I suppose in some cases, fills out the form, submits it to the State department, who keypunches them or puts them in a computer and has them available for retrieval.

Mrs. **Warner**. And the program officer in title I, for example, has available any and all information that may have been collected by another division, but it is there readily available and accessible.

Mr. **Cross**. I notice in the one sheet that came, the vocational education, with the greatest reduction in reports and items, was that all Federal?

Mrs. **Warner**. All Federal.

Mr. **Cross**. Fine; thank you very much.

Mrs. **Warner**. Thank you, sir.

Mr. **Kildee** (presiding). Does Majority Counsel have questions?

Mr. **Jennings**. Mrs. Warner, my question has to do with whether it is possible to translate your experience from a state where you have 2 million people to a state like California, where they have maybe 22 million people.

Mrs. **Warner**. Mr. Chairman, and Mr. Jennings, I would have some staff with me today, except at this moment they are on their way to California.

Mr. **Kildee**. Are they missionaries?

Mrs. **Warner**. Yes, sir; we are sending missionaries to see if we can help our compatriots in the Far West to share with them our data acquisition plan to see if it cannot be implemented in a large state such as California. The way the State of California is looking at the system is breaking it down into regional centers, if I understand correctly, and there they will go through the identical or similar process that we have. Their Department of Education will again be the core, and the Department of Education will negotiate with all the various program officials in order to cause this to come about. We believe that it is a pattern that is applicable; simply overlay with whatever caveats are required for a specific need in a specialized situation.

Mr. **Jennings**. I remember when I was out in Arizona and talked to you about a year and a half ago, you said one of the most effective techniques you used in reducing paperwork was to bring bureaucrats from your agencies into a room and have them sit at a table with local school administrators and the general public and ask them to justify each data request they were going to make.

Using that device, you found that the bureaucrats were willing to do away with a lot of their requests. That seems to me to be a very effective device, but it seems to be a device which can be used in a small state, and I wonder whether you can use that same type of device in a large state?

Mrs. **Warner**. Mr. Chairman, Mr. Jennings, it depends entirely on the leadership, I believe, and their commitment to the process. Interestingly enough, in following through on bringing the individual program officers in, seating them at a table, alone, with the committee around them, requiring them to justify every single data request, they all of a sudden developed a desire of empathy for local school administrators, county school superintendents, business officials, that has not only aided us in the data reduction process, but has built our Department of Education into truly the service agency with known quantities between our staff and local school districts; it has helped us become far more responsive to the needs of local school districts. There are a variety of additional benefits over and above the initial process which was data reduction.

As far as transferring it to a large state, or to the Federal government, if you are willing to give credence to the point of view of the victim, the one who must comply, it will work anywhere. If prior to the implementation or construction of the rules and regulations and the data requests, the results of the bureau were brought in, the people who have to comply, then I believe that immediately were the motivation, were the philosophy present, serious, I believe we would not have to talk about data reduction, but we would begin with a requirement that was manageable and handleable. There isn't a school administrator in the nation, to my knowledge, that would say there is no need for data collection, nor that they would not comply.

They simply cannot understand the duplication, the redundancy and the ridiculousness in some cases of unused stored data they must generate.

Mr. **Jennings**. Thank you. You have done a tremendous job out there.

Mr. **Kildee**. You used the term victim. Did you have difficulty in getting that term across, or did you find receptivity to the term victim?

Mrs. **Warner**. Sir, the victims, to begin with, didn't believe it.

Mr. **Kildee**. They didn't know they were victimized?

Mrs. **Warner**. They said we will come and probably be victimized, yes, but once they recognized that the Office of Superintendent was serious and they had a tremendous amount of responsibility and attendant authority, they took the job very seriously. And, as a result, we have not had one single appeal by a single program officer in the Department of Education. There is an administrative appeal process. It has not been used once. The committee of victims has been so fair and so concerned and objective that no program officer has felt they have been dealt with unfairly. So it has been a shared educational process that has been enlightening and rewarding.

Mr. **Kildee**. You seem to have a program that could well be replicated in other states.

Mrs. **Warner**. We believe it will be.

Mr. **Kildee**. Mr. Quie.

Mr. **Quie**. I have no questions.

Mr. **Kildee**. The committee will recess until 9:30 tomorrow morning.

Thank you very much, Mrs. Warner.

Mrs. **Warner**. Thank you, sir.

[Whereupon, at 10:37 a.m., the committee recessed, to reconvene at 9:30 a.m., Wednesday, May 25, 1977.]

[Material submitted for inclusion in the record follows:]

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TESTIMONY ON PAPER WORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

SUBMITTED BY
DR. BARBARA THOMPSON
SUPERINTENDENT OF PUBLIC INSTRUCTION
WISCONSIN DEPARTMENT OF EDUCATION

My name is Barbara Thompson and I am Superintendent of Public Instruction for the State of Wisconsin. I am also the Chairperson for the Council of Chief State School Officers' (CCSSO) Coordinating Committee on Educational Information (CCEI). In both capacities I am charged with the responsibility of addressing data collection concerns with the goal of keeping paperwork to a minimum. I, along with other Chief State School Officers, have the unique opportunity to view the problem from both sides, i.e., as a collector and user of educational data for state program operation and evaluation; and as a supplier of federally required data as well as a representative for local education agencies relative to federal reporting. From this vantage point it is becoming increasingly apparent that significant action is required at both the Federal and State level to create a systematic approach to collection and utilization of meaningful information in a manner that does not overwhelm local administrators and teachers with paperwork.

The Coordinating Committee on Educational Information (CCEI) has been involved with this particularly difficult problem for the past several years. The Committee has delegated the detail responsibility for staff support to the Committee on Evaluation and Information Systems (CEIS) consisting of a state coordinator from each state and extra-state jurisdiction.

This committee undertakes its activities through the use of subcommittees and task forces assigned specific areas of responsibilities, supplemented by the inclusion of Local Education Agency personnel (LEA) and interacting with appropriate federal personnel. CEIS has involved over 100 state and local personnel this past year in representing state and local agencies interests in federal data collection, evaluation, and information system development. CCEI provides oversight for the activities of CEIS and communicates recommendations and concerns of CEIS to the Chiefs and appropriate Federal Officials. This technique has led to some dramatic improvements in local/state/federal relations and has permitted a broader appreciation of paperwork problems.

With this short introduction to our committee structure and activities I would like to move on to some of the major problems perceived by state and local education agency personnel and some recommendations offered for your consideration:

1. Lack of adequate lead time. Over the years this has been a consistent problem leading CEIS to adopt a standard position requiring 9 months lead time prior to implementation of data collection activities. More specifically, this requires that data requirements be defined by January for the ensuing school year. This lead time is required due to the necessity of development and communication of needs to local districts by state education agencies, and modification or re-programming of data collection procedures at the local level. This implies that Congressionally mandated data collections should consider appropriate timing, not only in terms of legislation but also the subsequent regulation development.

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2. Cost of Data Collection. A major problem facing education today is the increasing demand for mandated program evaluation data, compliance information, etc. without commensurate increases in appropriations to cover the costs associated with generating this data. The Paperwork Commission Report on Education includes the following quotes:

- "A western State says the Federal Government imposes 40 percent of its data collection requirements yet provides only 10 percent of the funds".
- "A mountain State shows that 39 percent of the data it collects is required by the Federal Government which provides only 5 percent of its funds".
- "A midwestern farm State says that 30 to 50 percent of its reporting time is due to Federal requirements, yet it receives only 4 percent of its funds from Federal sources".
- A midwestern State estimates it may cost $3.50 per data item per school to provide data not readily available".

Mandated studies should not be considered prior to assessing the financial impact imposed on the respondents. This can best be accomplished by ensuring that respondents have an opportunity to determine financial and response burden prior to finalizing any legislation requiring data collection for reporting or evaluation.

I would be remiss if I did not mention some positive activity in this area over the past several years. Legislatively supported Title I Assistance Centers, Technical Assistance for State and Local Education Agencies and the information and personnel exchange programs sponsored by NCES have all been successful in enhancing state agency capabilities to comply with educational data demands but represent only a minor investment in addressing a major problem. I would definitely recommend increased appropriations and support for this type of activity.

3. Insufficient Governmental Management Controls. A review of the total education data needs of the Federal Government and the financial impact of data collection, processing, and utilization at all levels of government dictate that a highly sophisticated, integrated and responsive data management system be defined and put in-place. Excessive duplication and redundancy, inconsistent terminology, unrealistic data requests, lack of ability to manipulate and feed-back information, all reflect the inability to effectively coordinate and control the data acquisition process.

> While I am quick to admit that State Education Agencies do not have foolproof mechanisms and that a panacea is not on the horizon, I am firmly convinced that a great deal more attention needs to be directed toward this problem than has been the case in the past. I recognize that full control and coordination would require a drastic increase in personnel and funding levels at the Federal level but currently the burden for this inability to properly manage the data acquisition process is shouldered in the main by state and local staff and resources.

Recent years have shown that improvement is being made and the potential exists for securing a grasp on the problem. In particular, the Chiefs recognize and applaud the continued surveillance and objective analytical reviews by the Office of Management and Budget, (OMB) the creation and implementation of the Education Data Acquisition Council (EDAC) and its resulting Annual Data Acquisition Plan, and the establishment of a close working relationship with the Council of Chief State School Officers (CCSSO) by the National Center for Education Statistics. This process has led to improved justification for collecting data, common terminology and reduced duplication.

However this mechanism covers only the HEW Division of Education and the Office for Civil Rights. Numerous other federal agencies currently collect data from state and local education agencies and are not under the responsibility of the current EDAC review process. The exclusion from the review process tends to increase paperwork not only in terms of exact duplication but also due to imcomparability and incompatability by non-standard definitions and procedures.

It is felt that a great many of the current problems and weaknesses could be corrected by considering implementation of the following: (as included in the Commission on Federal Paperwork's Report on Education)

- All requests for data from educational respondents should flow through the HEW's Education Data Acquisition Council prior to OMB clearance.
- All forms submitted for clearance should use terminology consistent with the NCES Handbooks.
- The Education Division should include an automated indexing system for cataloguing available data as an instrument to assist EDAC staff in detecting duplication or identifying location of already existing data.
- A meaningful, comprehensive and integrated data management system should be designed and implemented to maximize utilization of data with an emphasis on a single collection of data items for multiple users. It is anticipated that the Common Core of Data (CCD) program developed by NCES may lead to this desired type of data administration.
- Congress should institute a practice of periodic reviews of mandated operations to monitor necessity to continue these activities.

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CCEI, CEIS and the Council of Chief State School Officers all recognize that the recommendations presented may appear to be an oversimplification of the approach necessary to solve the many faceted data problem, but we are convinced that they represent a point of departure that will lead to long needed improvements in this area.

Holly Springs Public Schools
Frank Ladd, Ed. D., Superintendent
601 252-2183
Holly Springs, Mississippi 38635

May 2, 1977

The Honorable Carl Perkins
Chairman, Committee on Education
House of Representatives
Washington, D. C.

Dear Mr. Perkins:

I am writing this letter with hope that you will help educators with the problem of over regulation, which has become strangulation, by the Federal Government. We, in education, are faced with the task of complying with Title IX, Public Law No. 94-142, for the Handicapped and Title I, ESEA, plus many other guidelines, laws and guarantees of everyone's civil rights. I do not believe that most of us in education want to violate or abridge anyone's rights; however, the guideline writers and enforcers of these guidelines seem to be self serving in their efforts to dictate educational policy and educational decisions.

During a time when many people are looking askance at the growing bureaucracy, the guideline writers and enforcers are requring a continued growth of this bureaucracy to handle the paper work, reports and compliance assurances they thrive on. It appears to this writer that the Congress needs to closely scrutinize the guidelines and interpretations by professional bureaucrats of Congressional intent.

One of the greatest strengths of this country has been an educational system with local control, which met local and national needs. The many guidelines coming out of Washington are having an adverse effect on education by fragmenting educational effort. The main goal of education is to provide an education that is appropriate for students who range from extremely bright and college bound to extremely slow, who need a different education with different goals. It seems that instead of the Federal Government providing needed assistance, they are listening to people with little or no educational experience and people with some special interest, or a crusade for a special cause.

I am enclosing copies of some of the things that are coming from the bureaucracy that are restrictive, unproductive and expensive to implement.

We couldn't possibly list all the forms nor tell you the time required to fill out all the forms that are required to show whether we are violating some particular group's rights.

I will be happy to testify before a committee regarding guidelines, restrictions, etc.

Yours sincerely,

Frank Ladd

Frank Ladd

FL:pd
Enclosures

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON D C [illegible]

Dear Colleague,

For more than a year technical assistance materials on the implementation of Title IX of the Education Amendments of 1972 have been under development for the United States Office of Education. The initial results of this development effort were disseminated during the summer of 1976 in a package entitled Complying With Title IX: A Resource Kit. The kit consisted of the following nine components: Equal Opportunity-A Fundamental American Right; Why Title IX?; Title IX of the Education Amendments of 1972: A Summary of the Implementing Regulations; Identifying Discrimination: A Review of Federal Antidiscrimination Laws and Selected Case Examples; Complying With Title IX: The First Twelve Months; Complying with Title IX: Implementing Institutional Self-Evaluation; Title IX: Selected Resources; Equal Educational Opportunity; and Equal Employment Opportunity.

The second part of this materials development effort is now being disseminated. The individual components are: Competitive Athletics: In Search of Equal Opportunity; Selecting Professionals in Higher Education: A Title IX Perspective; A Student Guide to Title IX; Implementing Title IX: A Sample Workshop; Title IX and Physical Education: A Compliance Overview; and Title IX Grievance Procedures: An Introductory Manual.

All of these materials are technical in nature and should not be viewed as interpretive of the Title IX regulation, a responsibility of the Office for Civil Rights. The illustrations or examples in these materials are not necessarily to be interpreted as Title IX requirements.

I want to thank the contractor and, in particular, the project director, Dr. Shirley McCune, and her staff at the Resource Center on Sex Roles in Education. The Center also receives support from the Ford Foundation, and much of the research behind the Title IX endeavor comes from that source. I also want to thank the Maryland State Board for Higher Education for undertaking the task of disseminating these materials.

The entire education community should be making every effort to provide educational equity for all individuals. We in the Office of Education hope these materials contribute to your efforts in this regard. You are invited to reproduce all or part of these materials according to your needs.

Sincerely yours,
Joan E. Duval
Joan E. Duval
Director
Women's Program Staff

Your Fundamental Responsibility

As you read this booklet, you will learn about the rights you have as a result of Title IX. You will also learn that you have a very basic responsibility to make these rights a living reality in your school.

You may find that your own school sometimes discriminates on the basis of sex. It is your responsibility to inform your school of any violations of your rights. In this way you can work to translate your legal rights into actual practice in the classrooms and offices of your school.

Sometimes this will be very simple. There are many principals, teachers, and parents who believe strongly in the idea of equal opportunity for all students, regardless of race, ethnic group, or sex; they will help you. At other times, you will face an uphill battle. In either case, you will want to discuss any problems with the Title IX coordinator for your school district. By Federal regulation, all school districts must have a Title IX coordinator. This is the man or woman in charge of making certain that your rights under Title IX are really working in your school system. Moreover, your school system also has a grievance procedure. This means, if you have a complaint about sex discrimination in your school, you are entitled to present it and to receive a response. In other words, there are people in your school system right now who are responsible for helping you understand and exercise your rights under Title IX.

IT'S YOUR JOB TO REPORT VIOLATIONS.

It is also your responsibility to let your school know when it is doing a good job in providing fair treatment for all students. Your praise will encourage those people in your school who are concerned about insuring your rights to equal educational opportunity.

Your freedom is in your hands. Your responsibility is to make certain that your freedoms are recognized by your school. If they are not recognized, then you should follow your school procedure and policy in complaining about this violation. If your school system refuses to recognize your rights or if you feel you will not get a fair hearing you should consider filing a complaint with the Federal Government or bringing court action in order to gain your rights.

It is up to each of you to make individual freedom a reality.

Taken from: A STUDENT GUIDE TO TITLE IX

Written by: Myra Sadker

Prepared under Contract 300-75-0256 for
the Women's Program Staff, U. S. Office
of Education, Department of Health,
Education and Welfare.

Assistant Secretary for Education

EDUCATION STATISTICS

Comments on Collection of Information and Data Acquisition Activity

Pursuant to section 406(g)(2)(B), General Education Provisions Act, notice is hereby given as follows:

The Office for Civil Rights has proposed a collection of information and data acquisition activity which will request information from educational agencies or institutions.

The purpose of publishing this notice in the FEDERAL REGISTER is to comply with paragraph (g)(2)(B) of the "Control of Paperwork" amendment which provides that each educational agency or institution subject to a request under the collection of information and data acquisition activity and their representative organizations shall have an opportunity, during a 30-day period before the transmittal of the request to the Director of the Office of Management and Budget, to comment to the Administrator of the National Center for Education Statistics on the collection of information and data acquisition activity.

This data acquisition activity is subject to review by the HEW Education Data Acquisition Council and the Office of Management and Budget.

Description of the proposed collection of information and data acquisition activity follow below.

Written comments on the proposed activities are invited. Comments should refer to the specific sponsoring agency and form number and must be received on or before May 2, 1977, and should be addressed to Administrator, National Center for Education Statistics, ATTN: Manager, Information Acquisition, Planning, and Utilization, Room 3001, 400 Maryland Avenue SW., Washington, D.C. 20202.

Further information may be obtained from Elizabeth M. Proctor of the National Center for Education Statistics, 202-245-1022.

Dated: March 28, 1977.

MARIE D. ELDRIDGE,
Administrator, National Center for Education Statistics.

DESCRIPTION OF A PROPOSED COLLECTION OF INFORMATION AND DATA ACQUISITION ACTIVITY

1. TITLE OF PROPOSED ACTIVITY

Elementary and Secondary School Civil Rights Survey: School Year 1977-78.

2. AGENCY/BUREAU/OFFICE

Office for Civil Rights.

3. AGENCY FORM NUMBER

OS/CR 101 and 102.

4. LEGISLATIVE AUTHORITY FOR THIS ACTIVITY

* * * Each recipient shall keep such records and submit to the responsible Department official or his/her designee timely, complete and accurate compliance reports at such time and in such form and containing such information, as the responsible Department official or his/her designee may determine to be necessary to enable him to ascertain whether the recipient has complied or is complying with this part" * * * (45 CFR 80.6(b))

Title IX of the Education Amendments of 1972. The procedural regulation applicable to Title VI of the Civil Rights Act of 1964 are adopted and incorporated by reference. These procedures may be found at 45 CFR 80-6-80-11 and 45 CFR Part 81. (45 CFR 86-71).

Section 504 of the Rehabilitation Act of 1973. Procedures found in Appendix B of the proposed final regulation and at 45 CFR 80.6-11 and 45 CFR Part 81 § 84.63.70. These procedural provisions are those applicable to Title VI of the Civil Rights Act of 1964 and are adopted and incorporated by reference.

5. VOLUNTARY/OBLIGATORY NATURE OF RESPONSES

Obligatory.

6. HOW INFORMATION TO BE COLLECTED WILL BE USED

The major purpose of the OCR data collection activity is to review an individual school district's potential compliance with Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 and section 504 of the Rehabilitation Act of 1973. Specifically, OCR is mandated to monitor and investigate possible cases of discrimination on the basis of race, ethnicity, national origin, sex, and/or handicapping conditions.

The primary plan for analysis centers around comparisons between:

(1) The number of actions taken within a specific school regarding the assignment of students, administration of discipline,

PART 2: PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION

WEDNESDAY, MAY 25, 1977

House of Representatives,
Subcommittee on Elementary, Secondary,
and Vocational Education
Committee on Education and Labor,
Washington, D.C.

The subcommittee met, pursuant to notice, at 9:30 a.m. in Room 2261, Rayburn House Office Building, Hon. Carl D. Perkins (chairman of the subcommittee) presiding.

Members Present: Representatives Perkins and Weiss.

Chairman Perkins. The committee will come to order.

A quorum is present.

Our first witness this morning is Mrs. Marie Eldridge, Administrator of the National Center for Education Statistics, accompanied by Mr. Darwin Stolzenbach, Executive Director of the Education Data Acquisition Council, National Center for Education Statistics; Today we will also hear from Dr. Calvin Frazier, Commissioner of Colorado State Department of Education, representing the Council of Chief State School Officers, accompanied by Mr. George Rush, Director of the Joint Data Project, Council of Chief State School Officers; and Mr. William Peek, Assistant to the State Superintendent, North Carolina Department of Public Instruction.

We will hear first from Mrs. Eldridge. I will let you all ome and give your statements and we will hold our questions until last.

If there is any way we can eliminate paperwork in government, which is taking the time of so many of government people and especially those charged with administration of programs and the teachers in the classroom and everybody, we will be so happy.

Without objection, your prepared statement will be inserted in the record.

[Mrs. Eldridge's statement follows:]

TESTIMONY OF MARIE D. ELDRIDGE, ADMINISTRATOR OF THE NATIONAL CENTER FOR EDUCATION STATISTICS, BEFORE THE SUBCOMMITTEE ON ELEMENTARY, SECONDARY, AND VOCATIONAL EDUCATION OF THE COMMITTEE ON EDUCATION AND LABOR OF THE HOUSE OF REPRESENTATIVES, MAY 25, 1977

I welcome this opportunity to testify on paperwork problems in the field of education, on our current efforts to deal with these problems, and on progress in implementing Section 406 of Public Law 94-482.

We recognize two important and inter-related problems:

(1) an increasing resistance by school officials and teachers to the total paperwork burden placed on them by all levels of government;

(2) the need to establish effective and efficient control over forms, surveys, and other types of data acquisition activities to eliminate redundancy and unnecessary burden;

Let us consider the first problem, increasing resistance. As I see it, the most important reason for the increasing resistance on the part of State and local officials to the increasing load of Federal data requests is their perception that such data requests divert scarce resources, both in personnel and dollars, from their major mission of educating children. This perception is underscored by the generally increasing concern about the quality of our educational processes. Recording and reporting data to State and Federal officials is not generally seen by local officials as contributing to improving educational quality. Similarly, State officials are increasingly reluctant to impose, or to acquiesce in Federal data collections, even if Federal dollars are made available to cover some or all of the cost. This is becoming a very serious problem.

A forceful illustration of this may be found in the Center's current feasibility study for our developing Common Core of Data (CCD) system. The CCD system is being designed to eliminate some current data collections, consolidate others, and provide a sounder data base for educational administrators, planners, and researchers at all levels. In our feasibility study, currently in progress, the Center has written small purchase-order contracts to determine the feasibility of filling out the planned CCD forms. This information is to include an assessment of the availability of the data and the States' estimates of the incremental cost of filling out the CCD forms--incremental in the sense of estimating the costs of providing data required by the Federal government beyond that which the State currently collects or would use for its own purposes.

While this feasibility study is not yet complete, two preliminary findings are noteworthy: First, the estimated costs reported to date are so widely varied, and so high in some cases, that it is not yet clear what the total cost for this system will ultimately be, nor how soon CCD can be made an operational system. In view of the voluntary nature of our data collections, and the fact that the State and local systems clearly perceive themselves as overburdened in this respect, it is evident that we must expect to provide extensive support to these respondents to offset their incremental costs of supplying needed data, if we are to have a functioning CCD system.

The second preliminary finding is that, even with the anticipation of support for incremental costs, and despite the support of the Council of Chief State School Officers (CCSSO), many States have expressed an extreme reluctance to consider cooperation with the proposed CCD data collection when so little appears to be happening to control the expanding overall burden of Federal, education-related paperwork.

In this connection, I must point out that many State officials do not differentiate among the various Federal agencies that sponsor these data requests; the National Center for Education Statistics is looked upon as the agency which should have the responsibility of doing something about the data requests of all Federal agencies -- the Office of Education, the Office for Civil Rights, the Equal Education Opportunity Commission, the Food and Nutrition Service of the Department of Agriculture, The Bureau of the Census, to mention some. Clearly, the Center has neither the authority nor the capability of reviewing and coordinating all Federal education data requests.

With regard to the second problem, each new Act of Congress establishing a new grant program, modifying or expanding an existing program, requiring new efforts to reduce discrimination, requesting more intensive evaluation of existing programs and greater accountability for the funds expended contains the seeds of added data collection burden. The effect of this situation on those managing the school system is a constant clamor for more coordination and more control over the paperwork burden, slowdowns in complying with data requests, and either reluctance or refusal to cooperate with future data collection efforts even if renumeration is offered for the time and effort required to complete forms and questionnaires. Let me expand further on the Center's efforts to deal with this problem.

The Center's Role in Paperwork Problems

Following your hearing on May 7, 1974, the Comptroller General's Report of March 24, 1974, and the enactment of Public Law 93-380 in August 1974, the Center created a new position in the office of the Administrator, a Manager of Information Acquisition, Planning and Utilization. The appointment of Darwin Stolzenbach, who is with me here today, marks the first time the Education Division has had a full-time senior staff person with responsibility for managing a paperwork control effort embracing all agencies of the Division.

On September 3, 1975 the Assistant Secretary for Education signed a charter establishing the Education Data Acquisition Council (EDAC), replacing the then defunct Office of Education Task Force for Planning Acquisition of Information.

The basic functions of EDAC, as set forth in its charter, are to advise the Assistant Secretary for Education on data acquisition policy, to develop, approve, and disseminate standards, criteria, and guidelines for planning and developing a sound body of national education data, and to assist the National Center for Education Statistics in the preparation of the Annual Data Acquisition Plan of the Education Division.

Upon its establishment, EDAC authorized review groups, developed and promulgated criteria for the inclusion of data acquisition activities in the Plan, approved the policy of not allowing any data acquisition activity to be sent to the Office of Management and Budget for clearance unless it is included in the Plan, and approved a policy for consultation with representative respondent groups such as the Council of Chief State School Officers.

The Manager, Information Acquisition Planning and Utilization of the National Center has been designated as the Executive Director of EDAC and has the overall responsibility for managing the review operations in accordance with the policies of EDAC and for the preparation and maintenance of the Annual Data Acquisition Plan.

The main review function under EDAC is performed by three review groups, consisting of senior professional staff persons designated by the participating agencies and bureaus. Since April 1976 these groups have been meeting regularly once a week. The reviews of proposed data acquisition activities are scheduled at the time when the OMB clearance package is ready for transmittal to OMB. The groups have the option of approving an activity for inclusion in the plan or not, or of negotiating changes in the activities with the sponsor. Since the groups began operating in April 1976, 156 activities have been reviewed. Of these 127 were approved, 17 substantially modified, and 7 were disapproved. The 7 that were disapproved represented a total potential respondent burden of 11,400 man-hours.

A good example of an activity that was substantially modified during the review process is the Needs Assessment Survey of the Bureau of Education for the Handicapped (OE). As originally presented, the sponsor intended to survey all (some 200,000) of the nation's special education teachers, and the respondent burden would have been an estimated 134,000 man-hours. The survey as finally approved will seek responses from a national sample of the universe of special education teachers, representing an estimated respondent burden of 11,000 man-hours. The resulting burden reduction is the equivalent of approximately 114 teaching years.

Our evaluation of the results of the first year of EDAC operations indicates several ways in which the effectiveness and efficiency of the EDAC review process can be improved.

First, we believe that the criteria for justification of a data acquisition activity can be sharpened by more explicitly specifying the uses of data that will justify them as necessary. Frequently, a sponsor will be unable to demonstrate actual usage of data but will claim that the data are required by existing regulations. We will in such instances initiate an examination of such regulations and take the necessary steps either to revise such regulations or to have them revoked.

Secondly, we have noted that practically all evaluation and research data acquisition activities are designed by contractors, and that by the time the activity is ready for EDAC review a heavy investment of time and funds has already been made; if changes in the survey design or the instruments are to be made, the delays in beginning the field work may be costly and might well interfere with a planned schedule of program operations. Under these circumstances, review groups have been reluctant to recommend disapproval or substantial modifications. Our approach to solving this problem is to have an up-front review of the work statements prior to the publication of requests for proposals.

Thirdly, many of the data acquisition systems presented to review groups involve extremely complex considerations, which strains a part-time staff. Owing to budget and personnel ceiling limitations we have utilized the Intergovernmental Personnel Act and obtained, on a temporary one-year basis the services of a senior person from The California State Department of Education.

Implementation of the "Control of Paperwork" subsection (406(g)) of the General Education Provisions Act as amended

With the enactment of subsection 406(g) we proceeded immediately with steps to implement it. The first step was to initiate a procedure for affording respondent educational agencies and institutions an opportunity to comment on each proposed data acquisition activity (406(g)(2)(B)). Since November 1976 we have been publishing a notice in the Federal Register describing each proposed data activity and inviting comments within 30 days. The comments we receive are sent immediately to the sponsor (for reply), and to the chairman of the appropriate EDAC review group.

Early in December 1976 we drafted revised procedures for EDAC in order to comply with 406(g)(1)(C). The principal feature of this revision is, of course, to bring the Office for Civil Rights into the orbit of EDAC. We are also proposing to add the Deputy Assistant Secretary for Planning and Evaluation (Education) to the Council as a voting member and to make the Council advisory to the Administrator. As of this date these new procedures are awaiting approval by the Secretary.

With respect to the role assigned to the Administrator of assisting each bureau or agency in performing the coordination required (by the subsection) we have already begun to explicitly offer the services of our professional statistical staff to assist sponsoring project officers in the design of appropriate survey methods and instruments. This activity is carried out independently of the EDAC functions. A prime recent example of this is the set of survey instruments proposed by the Office for Civil Rights for their biennial survey of elementary and secondary schools. The extent to which NCES can provide such advice is, of course, a function of how much of our personnel resources we can afford to divert to this purpose.

Subsection 406 (g) specifies three criteria for data activities: necessity, redundancy, and excessive burden. With respect to redundancy we now have, in our FY-77 Supplemental Appropriation, sufficient funds with which to develop, under contract, a data item indexing system and a compatible computerized facility for quickly identifying data-item redundancy.

With respect to 406(g)(3) requiring the Administrator to provide summaries of information collected and data acquired, we contemplate issuing guidelines to the agencies as to how summaries of data collected shall be disseminated. In some instances computerized summaries may be required for inclusion in our EDSTAT facility.

With respect to 406(g)(4) requiring the Administrator to develop a common set of definitions and terms, this provision involves an augmentation of the NCES handbook program. Using funds made available in our FY-77 Supplemental Appropriation we shall contract to prepare a dictionary of all the terms used in the data acquisition activities of the Education Division and the Office for Civil Rights and a collation of those terms with the terms in the NCES handbook series. The result of this effort will provide a basis for a program of handbook revision and updating in order to comply with this new provision of law.

Thank you for inviting me to present this testimony. Mr. Stolzenbach and I will be pleased to answer any questions you might have on this subject.

STATEMENT OF MS. MARIE ELDRIDGE, ADMINISTRATOR, NATIONAL CENTER FOR EDUCATION STATISTICS, ACCOMPANIED BY DARWIN STOLZENBACH, EXECUTIVE DIRECTOR, EDUCATION DATA ACQUISITION COUNCIL, NATIONAL CENTER FOR EDUCATION STATISTICS

Ms. ELDRIDGE. I am very pleased to be here and I will spend just a few moments highlighting the testimony, if that is permissible.

I would like to introduce Mr. Stolzenbach, sitting to my left, who, as you indicated, is the Executive Director of the Education Data Acquisition Council, National Center for Education Statistics. The functions of the Council are addressed quite fully in my testimony.

When we talk about the paperwork burden you see two very important and related problems. The first is very obviously the increasing resistance by school personnel to this burden which is placed on them by all levels of government, not just the field component.

Secondly, the need to establish effective controls over the data acquisition activities in order to eliminate redundancy and unnecessary burden. I believe the resistance on the part of state and local officials stems mainly from their perception of the data requirements as a chore which diverts scarce resources, both personnel and dollars, from their major mission of educating children.

Also there is increasing reluctance to cooperate in federal data collection even if federal dollars are available.

The problem snowballs because many state officials do not differentiate among the various federal agencies involved and they look to the National Center more and more as the agency which should have the responsibility of doing something about the burden which may be generated by OE, OCR, EEOC, Food and Nutrition Services of the Department of Agriculture, and the Census, to mention a few.

They do not differentiate between Office of Education data, data for the Office of Civil Rights, data for Food and Nutrition Service in the Department of Agriculture, or even Census Bureau data. It is just in one big glob; it is perceived as more a Federal data burden and they are looking to the National Center [data] for some relief. I think it is very clear that I am sympathetic to the role which they would like us to have, but it is also very clear we have neither the authority nor the capability to carry out that overview function.

I have not had the time or the resources to catalog all the data requested at the Federal level.

However, in the Education Division alone we have approximately 175 data collection activities currently in the education data plan for public elementary and secondary schools. They generate an estimated burden of 1.2 million man-hours.

I would like to submit for the record some tabulations which we have prepared which were not part of the testimony submitted yesterday which break out that burden in terms of the generating agencies and the types of respondents.

I think you will find some very interesting figures in those tables, and we will submit them for the record if that is permissible.

Chairman **Perkins**. Without objection, when it is received.

[The information referred to follows:]

TABLE 1

EDUCATION DIVISION ANNUAL DATA ACQUISITION PLAN
FISCAL YEAR 1978
NUMBER OF DATA ACQUISITION ACTIVITIES
BY SECTION OF PLAN AND EDAC STATUS

EDAC Status	Elementary/ Secondary	Postsecondary	Adult/Vocational	Total
Proposed	59	13	22	94
Approved	143	96	18	257
Total	202	109	40	351

TABLE 2

RESPONDENT BURDEN OF DATA ACQUISITION ACTIVITIES DURING FY 1978 ON PUBLIC ELEMENTARY AND SECONDARY SCHOOLS

(000's of Man-Hours)

Agency/Purpose	Number of Systems	Man-Hours	Percent of Total Man-Hours
NCES	41	99	7.5
NIE	31	27	2.1
OE (Total)	(101)	(1190)	(90.4)
Applications	53	767	58.3
Program Management	26	261	19.8
Evaluation	22	162	12.3
TOTAL	173	1316	100.0

TABLE 3

RESPONDENT BURDEN OF DATA ACQUISITION ACTIVITIES OF THE OFFICE OF EDUCATION ON PUBLIC ELEMENTARY AND SECONDARY SCHOOLS

(000's of Man-Hours)

Purpose	State Education Agencies	Local Education Agencies 1/	Other 2/	Total
Application	31	533	198	767
Program Management	24	91	146	261
Evaluation	1	136	26	162
TOTAL	56	760	370	1190

1/ All Administrators, teachers, and staff serving students enrolled in local public education agencies.

2/ All institutions other than the local public education agencies.

TABLE 4

RESPONDENT BURDEN OF DATA ACQUISITION ACTIVITIES ON PUBLIC ELEMENTARY AND SECONDARY SCHOOLS BY NUMBER AND PERCENT OF MAN-HOURS REQUIRED

Form Number	Description	Number of Man-Hours	Percent of total	Cumulative Percent
OE #362	Migratory Program, ESEA, Title I Instructions for Application for Federal Assistance	156,000	13.1	13.1
OE #362-1	Instructions for Financial and Performance Reporting Migratory Programs, ESEA Title I	99,000	8.3	21.4
OE #506-1	Indian Student Enrollment Certification: Individual	75,000	6.3	27.7
OE #4037	Report for Determining Final Payment pursuant to Title I of Public Law 81-874	60,000	5.0	32.7
OE #4019	Application for School Assistance in Federally Affected Areas (Title I of Public Law 81-874)	60,000	5.0	37.7
OE #502-3	Practical Achievement Scale	53,492	4.5	42.2
OE #502-8-1	Student Participation Roster-Reading	50,575	4.2	46.4
OE #453	Community Education Programs-Instructions for Applications for Federal Assistance	40,000	3.4	49.8
OE #326	Application for Federal Assistance (Non-Construction Programs) Instructions for Environmental Education Programs	40,000	3.4	53.2
OE #4524A	ESEA Title I Comparability Report: General Information	36,000	3.0	59.2
OE #4524B	ESEA, Title I Comparability Report: Detailed School Data	36,000	3.0	56.2

TABLE 4 (Continued) Page 2

RESPONDENT BURDEN OF DATA ACQUISITION ACTIVITIES
ON PUBLIC ELEMENTARY AND SECONDARY SCHOOLS
BY NUMBER AND PERCENT OF MAN-HOURS REQUIRED

Form Number	Description	Number of Man-Hours	Percent of Total	Cumulative Percent
OE #4561	Application for Federal Assistance (Non-Construction Programs) for Bilingual Education-Instructions & Supplementary Questionnaire	34,000	2.9	62.1
OE #9037	Instruction for Application for Federal Assistance (Non-Construction Programs) Handicapped	28,170	2.4	64.5
OE #360	Financial Status and Performance Report For Discretionary Grants, Bureau of Occupational and Adult Education	27,960	2.3	66.8
OE #9047	Application for Federal Assistance (Discretionary Grant Application for Private Nonprofit Organizations Under P.L. 93-380)	27,000	2.3	71.1
OE #3176	Vocational Education Programs Instructions for Application for Federal Assistance	24,000	2.0	73.1
OE #355	Data to Determine Eligibility and Compute Maximum Grants-Financial Assistance for Public School Construction	24,000	2.0	75.1
OE #116	Application for Federal Assistance, ESAA	24,000	2.0	77.1
OE #502-1	Summer Activity Slipsheet	21,396	1.8	78.9
OE #3600	Application for Grant Equipment and Materials to Improve Undergraduate Instruction	16,148	1.4	80.3

Ms. **Eldridge**. I believe it must be recognized that much of the data burden results from the directed agencies' interpretation of the new acts of Congress which either establish new programs or revise or enlarge existing programs. I think this is undoubtedly where the burden is generated.

All this sounds very grim and is probably very redundant in terms of what you have already heard and what you are going to hear in subsequent testimony, but I personally believe there are significant things that have been undertaken by HEW in the area of data burden reduction and I would like to discuss some of those in terms of their effectiveness.

Following your hearings in May of 1974, the Comptroller General's report in March 1974 and the passage of Public Law 93-380, the National Center recruited and dedicated a senior fulltime staff person to the paperwork problem, and the Assistant Secretary for Education created the Education Data Acquisition Council (EDAC), replacing the then defunct OE Task Force on Planning Acquisition and Information. I am not going to take the time to review the functions of the Council because I think those are spelled out in my testimony. However, I would like to highlight some of the results of that EDAC process.

One hundred fifty-six activities have come before EDAC since April of 1976, when the Council became operative. Seventeen of those were substantially modified and 7 were disapproved. The respondent burden associated with the 7 which were disapproved and did not go to OMB for forms clearance approval, amounted to 11,400 hours. This figure would indicate that no major program was completely eliminated as a result of the EDAC review, which I think is not surprising when you consider that this was the first year of the EDAC process and we are just gearing up.

While I do not have the figures on the net effect of the 17 modifications, I do not think we should consider those as being a minor contribution in terms of data reduction. In fact, we have an example, and there are others, where the modifications affect substantial reductions.

A good example of the significant refinements in survey design is described in my testimony and relates to one particular survey where the original proposal called for a census of all the teachers in special education. As a result of the EDAC review, we shifted that survey design to a national representative sample.

The original proposal had associated with it 134,000 man-hours in terms of estimated burden. The revision, based on the sample, has an estimated burden of 11,000 man-hours. The reduction of 123,000 man-hours equates to approximately 114 teacher-years. I do not think that that is insignificant.

The EDAC function, as I have just mentioned, is just a year old. We have identified improvements which we expect to phase in as our budget and personnel constraints permit us. With the enactment of Section 406 of Public Law 94-482, we have expanded the jurisdiction of EDAC to include the Office of Civil Rights. Notices of proposed data collection are now appearing in the Federal Register. That started in November of 1976 and through that mechanism we invite potential respondents to comment on any survey that is under review by EDAC.

To the extent possible we are also explicitly offering our statistical expertise to survey sponsors in the area of survey design so that we can do more of what I mentioned earlier in terms of evaluating the need for a census versus a sample design, or even optimizing the sample design, in order to reduce the data burden.

We also have developed a system which I did not include in my prepared testimony, which is the Fast Response Survey System which has been recognized very clearly by the Council of Chief State School Officers as a very potent mechanism for potential burden reduction. The Fast Response Survey System is a "quickie" mechanism whereby we zero in on policy-related issues, restrict the questionnaire to postcard-size, and get the results back in approximately three months.

The thought behind this system was not originally to reduce burden but we recognized after the first few surveys which were conducted through this system that if we can get the key data in, that may in fact satisfy the policymakers and may eliminate the need for more extensive surveys.

We have great hopes for this Fast Response System. It is relatively inexpensive, and the states are extremely pleased with the system because the burden is clearly minimized. I think that is a very important component of what NCES is doing in data burden.

The supplemental appropriations for fiscal 1977 are, of course, going to permit us to automate and formalize some of the EDAC functions. That will take place in fiscal 1977 and 1978. Again, I believe that is adequately covered in my prepared testimony and I will not take time to discuss that any further.

Thank you very much.

Chairman **Perkins**. Thank you very much for your statement, Ms. Eldridge. It will be very helpful.

Let's hear from Dr. Frazier before we go to questioning.

STATEMENT OF DR. CALVIN FRAZIER, COMMISSIONER, COLORADO STATE DEPARTMENT OF EDUCATION, REPRESENTING THE COUNCIL OF CHIEF STATE SCHOOL OFFICERS, ACCOMPANIED BY GEORGE RUSH, DIRECTOR OF THE JOINT DATA PROJECT, COUNCIL OF CHIEF STATE SCHOOL OFFICERS

Dr. **Frazier**. My name is Calvin Frazier, from Colorado, and I have been Commissioner of Education for four years and prior to that worked in local school districts and at a couple of universities, so my perspective stems from about 25 years in education in various contexts with the Federal agencies and offices.

With me is George Rush, who was formerly a member of the Kentucky state department and is now with the Chief State School Officers and the U.S. Office of Education in this special project.

I think for my comments this morning I would like to highlight a few of the problems but basically focus on recommendations.

[The statement of Dr. Frazier follows:]

TESTIMONY GIVEN TO THE HOUSE OF REPRESENTATIVES
SUBCOMMITTEE ON
ELEMENTARY, SECONDARY, AND VOCATIONAL EDUCATION
PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

WEDNESDAY, MAY 25, 1977

COLORADO COMMISSIONER OF EDUCATION, DR. CALVIN M. FRAZIER

Mr. Chairman, members of the subcommittee, I am Calvin M. Frazier, Commissioner of Education for the State of Colorado, a position I have occupied since 1973. Thank you for the opportunity to appear today and discuss the serious problems surrounding paperwork burdens on educational agencies. The views I present here today represent not only my personal opinions but also those of the Council of Chief State School Officers (CCSSO).

A combination of factors and circumstances have produced the paperwork burden placed upon government agencies and the private sector. It is my position that many federal and state agencies, as well as lawmakers themselves, must accept responsibility for the uncontrolled growth of paperwork. Therefore, it is our collective responsibility to take measures to effectively reduce the staggering response burden. There is need for all parties to assess the legislative wording that sometimes triggers data collection, rules that compound the problem, and administrative practices that informally add paperwork demands.

Those of us who are involved in the paperwork process acknowledge that it is a complex problem. Today, however, I would like to concentrate on seven elements which appear to me to be the most serious for Colorado and the other 49 states and six territories. They are:

1. The dollars expended supplying data to the federal government.
2. The number of data items sent to federal agencies.
3. The duplication of information.
4. The impact of mandated information systems.
5. The influence of private contractors in the collection of data.
6. The limited lead-time provided for state education agencies and local education agencies to respond to information requested.
7. Data and paperwork as they relate to achieving Congressional intent.

Our concept of data in relation to the cost of supplying that data must change. Until recently we have considered data as an "output" from a computer or information "they" supply. There was a detachment and an impersonal relationship existing between the requestor and the supplier. Data were like inanimate objects. We must look upon data as a commodity - a commodity which must be produced by someone and paid for by some person or agency. Currently, there are insufficient appropriations in federal programs to cover the costs of supplying data to federal agencies, therefore, limited state and local resources must be expended to meet federally imposed reporting requirements.

Data costs are difficult to compute. Costs are dependent upon variables such as the availability of the information requested, time needed to aggregate the data, ease of understanding instructions, data item definitions, need for start-up and organizational adjustments, and countless other factors. However, the question of "how much will it cost?" is becoming increasingly important.

Colorado is in the midst of a data cost study. It will not be concluded until August or September 1978; however, our findings to date indicate that the average cost to report a data item is $1.31. Reporting costs range from 30 cents per item to $20 per item. A data item is defined as a single response to a question, such as, "How many students do you have in the sixth grade?" Our cost figures include only the obvious costs and few of the indirect clerical and systems costs. Our most recent study of the Office for Civil Rights 101 and 102 forms indicate that the direct costs of this study to 181 school districts in Colorado was in excess of $200,000. In collecting over 2 million items of educational information for federal agencies in 1975-76, we estimate that Colorado spent approximately $3,000,000. For our state, this figure does not include vocational education data. If our state is an indication, this would mean $250 to $300 million dollars were spent compiling K-12 educational data by all states last year.

Unfortunately, a number of factors have propelled us toward massive data collection efforts.

One factor is that our educational systems have taught us to "get the facts - all the facts." This has been reinforced by Congressmen and legislators placing federal and state program managers in a position where they are expected to be able to answer all questions.

Another factor relates to the basic human characteristic of not being able to moderate our appetites after a once scarce commodity becomes abundant. Only 15 years ago, the capability of storing and processing vast amounts of data was limited. The computer has since eliminated many collection barriers, and we have over-reacted and collected more data than we need or can use.

We anticipate the data response burden will increase substantially with changes in the vocational and special education laws. It should be noted that cost estimates provided by federal officials in their data acquisition announcements have been grossly underestimated in the judgement of many of us. This may be partly attributed to an unawareness at the federal level of the total state effort. For example, several million individual student data items were collected by the Colorado vocational education system in order to report to the federal government only 1,000 summarized data items. This example dramatically emphasizes the reporting burden that states and local districts have faced in fulfilling federal data requirements.

Duplication of data and the absence of key data definitions pose additional problems. Some progress has been made in eliminating duplication of data and efforts must be continued.

While the Educational Data Acquisition Council has had a positive influence on the reduction of the data burden, there is little evidence coming through to the states that federal agencies are attempting to coordinate their data collection activities.

The information system is in fact an extension of the management process and reflects the needs of a particular district and its style of management. Because of the vast dissimilarities among districts throughout the United States, data required and utilized by one district may be unimportant in another district. These dissimilarities often lead to misunderstandings, misinterpretations and lack of agreement about definitions of data. The lack of common definitions substantially reduces the accuracy and reliability of the information derived from the data.

In terms of legislation we are somewhat concerned over the specificity in mandating information systems. Recently information system development has been included in legislation for vocational education, education for the handicapped, Right to Read, use of federal funds (Section 437 of GEPA), and an NIE research and development system. A fear exists that too much specificity will become a liability and consequently add to, rather than reduce the paperwork problem.

A growing complaint voiced by both local and state education agencies relates to the involvement of private contractors. For several reasons there has been an increased use of contractors to conduct surveys and design data collection procedures.

We have observed instances where a contractor has not had a sufficient understanding and appreciation of state and local district policy and procedures to recognize the impact and response burden imposed on the supplier of information. While federal personnel must become sensitized to the data concerns of local and state agencies, so, too, must the contractors who are under performance pressures that, in some instances, have led them to collect excessive amounts of data.

State and local educational agencies need adequate lead time. Since the advent of computers and elaborate accounting systems, it is most important that advance notice be given to allow for system design alteration and computer programming, informing participants at all levels, and conducting any personnel training necessary.

In the past, an inordinate amount of time has been spent at the federal level prior to announcing data requirements to state and local jurisdictions. Development of regulations has consumed much time and energy and reporting deadlines are almost reached by the time regulations are adopted. This sets in motion a crash program to install appropriate mechanisms at the state and local level that undermines the entire program. A related problem is that of regulations calling for retroactive data collection that forces state and local school districts to recreate data as best they can. This after-the-fact approach increases the time and costs involved in responding and makes such data suspect in terms of its validity.

Lastly, the data collection process must be examined in relationship to achieving the intent of the legislation. If the process is effective, all levels of government involved in the implementation of a program gain insight into the strengths and weaknesses of the program effort. Data and paperwork become important as one basis for evaluating the legislation passed by Congress.

Breakdowns in the data collection process effectively eliminate any systematic feedback to Congress on the attainment of changes sought by passing the legislation. For this reason, the reduction of the paperwork demand is only part of the picture. The other and perhaps more difficult challenge is to design the process in such a way that the data collected is useful in assessing the contribution of the legislation. It does not appear that such a process exists and, until this problem is addressed, any changes in the paperwork demand become a somewhat superficial tampering with the system.

Recommendations

The magnitude of the problem precludes any quick and easy solutions. I would like, however, to make several recommendations that, in the minds of school officers, may lead to an improved local/state/federal mechanism for delivering meaningful information to policy makers and program managers.

1. Centralize the review of data collection forms and procedures in one agency. It would appear that the Office of Management and Budget could be assigned this responsibility. OMB could also review the data processes of federal regulatory agencies currently under the Government Accounting Office (GAO). If OMB is not the appropriate point of review, the Secretary of HEW and federal educational

leaders should propose another suitable central clearinghouse to perform this function.

2. Expand the scope of responsibility of preliminary review of forms by the Assistant Secretary of Education through the Educational Data Acquisition Council (EDAC) process. Not only those forms emanating from the Division of Education and the Office for Civil Rights, but all federal data collection activities impacting the educational community should be cleared through the EDAC. Additionally, we would recommend that representatives of respondent groups be involved in the preparation and development of information collection activities. The Council of Chief State School Officers has a Committee on Evaluation and Information Systems (CEIS) performing in this capacity now and this Committee has been a valuable vehicle for improving data collection processes in recent years. The concept should be expanded.

3. Investigate a means whereby each major federal report could contain funding provisions to reimburse the suppliers of the data for incurred costs. The reimbursement process should utilize a method that permits appropriate audit trails. Limitation of funds for data collection will force program managers to concentrate on the more critical informational needs and forego information that is in the "nice-to-know" category. At a minimum, a systematic sampling should be made by federal agencies on the cost of data collection. This would tend to keep this issue before the various federal agencies and allow assessment of the cost/benefit factor on

some forms.

4. Develop a centralized, integrated, information management system. Hopefully, this type of approach would enable the federal government to utilize computer technology to store and retrieve commonly used educational information with emphasis on collecting data one time and processing multiple sets of data for information users. To maximize this approach, it would be necessary to place control over the collection of a common data base in one organization and require all other federal agencies dealing with education to access this data base, using survey forms only when it has been demonstrated that required information is not available in the existing data base. We feel that such a system may be in the early stages of development in the proposed National Center for Educational Statistics (NCES) Common Core of Data program. We would support necessary funding to fully develop this technique.
5. Coordinate federal data collection activities impacting local school districts through the State Education Agency. Forms sent directly to local school districts increase the possibility of duplication due to the potential of the State having similar data requirements.
6. Avoid development of data requirements for special categorical programs such as vocational education and special education as separate information systems.

The data requirements for all categorical programs should be integrated to the extent possible in the Common Core Data requirements.

7. Establish a data item directory within the National Center for Educational Statistics. Such a directory could serve as a means for identifying duplication of effort.

8. Require all new requests for data and changes to existing surveys to be defined and approved for collection by the December prior to the school year in which it is to be collected. In an attempt to assist in better planning and orderly change in Colorado we are providing our districts with our data requirement five to six months before the beginning of the school year. It has resulted in better data being delivered on time.

9. Review the legislative intent and data requirements as a critical step to remedying the paperwork problem. Congress should adopt laws containing a clearly defined expectation for what data will be needed to determine the value of the legislation, who will be responsible for providing this information, the costs to be incurred in collecting these data, and when the information will be needed and used. This means a data analysis of these points prior to the passage of any legislation having significant data implications.

10. Congressional and administrative support for coordinating existing data collection mandates. States are about to embark on significant data collection efforts in support of Public Law 94-142, Education for All Handicapped Children. The data collection format should be established now and immediate attention given to the question of how all of us can judge the effectiveness of this major piece of legislation. This requires a commitment to judge our use of federal resources and the impact we have in improving the educational opportunities of handicapped children. Although many states have had similar legislation, little has been done to evaluate our efforts in this area. The federal law, P.L. 94-142, could be a means for upgrading our state evaluation efforts while setting the federal program in motion.

11. Develop federal data collection procedures in such a way that state data collection capacity is enhanced. It is important to see the state's data processing ability as a key cornerstone of a good federal system. As state leaders are included in data and paperwork studies, local school districts will profit. A team approach is needed because of the scope of this problem and we as Chief State School Officers are prepared to do what we can in a collective effort with congressional and federal officials.

In closing, the good news in this area should be noted. Progress has been made with the establishment of the Federal Paperwork Commission, the objective analytical review process performed by the Office of Management and Budget and the creation and operation of the preliminary review process by the HEW Education Data Acquisition Council (EDAC). In addition, the Chiefs have made a contribution in the formation of its own committee, CEIS, the Committee on Evaluation and Information Systems. This organization consists of over 100 representatives from state and local education agencies interacting with federal personnel in identifying and resolving problems associated with data collection, evaluation, and information systems.

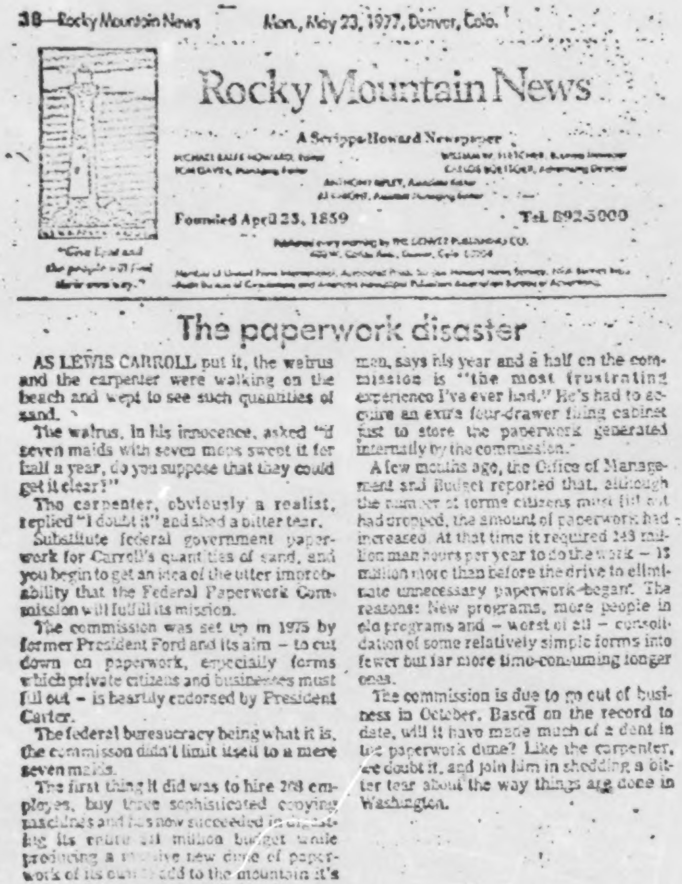
Recently we learned that some federal agencies had brought back regulations and mandated surveys to congressional staff members to ensure that the developed materials were consistent with the intent of the legislation. This is an encouraging sign and continued use of this techniqe should prevent some of the problems of the past leading to the collection of unnecessary data.

Last, but certainly not least, the Chief State School Officers have also been complimentary of the cooperative spirit demonstrated by Marie Eldridge and the staff of the National Center for Education Statistics in establishing procedures to insure adequate input in their activities by the representatives of respondent groups.

During the last 10 to 15 years, perhaps the state agencies as well as Congress and federal officials have unknowingly allowed the information process to become extremely complex. It seems appropriate that we collectively take strong and positive action to correct this serious situation. I offer the services of CCSSO and CEIS in advisory capacities as you consider paperwork problems in the reauthorization of elementary and secondary education legislation.

Once again I would like to express my appreciation for having the opportunity of appearing before you this morning.

The constituents of Colorado are interested and very concerned about the data burden required of state and local agencies and the private sector. The attached editorial is a typical reflection of Colorado's concern. The other major publisher, The Denver Post, has published a number of similar editorials and articles concerning the subject.



38—Rocky Mountain News Mon., May 23, 1977, Denver, Colo.

Rocky Mountain News

A Scripps-Howard Newspaper

Founded April 23, 1859 Tel. 892-5000

"Give Light and the people will find their own way."

The paperwork disaster

AS LEWIS CARROLL put it, the walrus and the carpenter were walking on the beach and wept to see such quantities of sand.

The walrus, in his innocence, asked "if seven maids with seven mops swept it for half a year, do you suppose that they could get it clear?"

The carpenter, obviously a realist, replied "I doubt it" and shed a bitter tear.

Substitute federal government paperwork for Carroll's quantities of sand, and you begin to get an idea of the utter improbability that the Federal Paperwork Commission will fulfill its mission.

The commission was set up in 1975 by former President Ford and its aim – to cut down on paperwork, especially forms which private citizens and businesses must fill out – is heartily endorsed by President Carter.

The federal bureaucracy being what it is, the commisson didn't limit itself to a mere seven maids.

The first thing it did was to hire 208 employes, buy three sophisticated copying machines and has now succeeded in digesting its entire [illegible] million budget while producing a [illegible] new dune of paperwork of its own to add to the mountain it's supposed to cut down to workable size.

One public [illegible], an accountant from California who represents small businessman, says his year and a half on the commission is "the most frustrating experience I've ever had." He's had to acquire an extra four-drawer filing cabinet just to store the paperwork generated internally by the commission."

A few months ago, the Office of Management and Budget reported that, although the number of forms citizens must fill out had dropped, the amount of paperwork had increased. At that time it required 143 million man hours per year to do the work – 13 million more than before the drive to eliminate unnecessary paperwork began. The reasons: New programs, more people in old programs and – worst of all – consolidation of some relatively simple forms into fewer but far more time-consuming longer ones.

The commission is due to go out of business in October. Based on the record to date, will it have made much of a dent in the paperwork dune? Like the carpenter, we doubt it, and join him in shedding a bitter tear about the way things are done in Washington.

Dr. **Frazier**. I think from the standpoint of many meetings that we have had as chiefs, perhaps some of our comments as to where do we go on this might be maybe somewhat unique in terms of how we would see this, although I think we are in general agreement on the problem. Rather than highlight many of the problems, I would rather look more at the legislative aspects as we see them and the relationship between the legislation that is passed and ultimately the data process that is encumbered as a result of that.

In my prepared testimony I mentioned the 6 or 7 problems as we see these from the Chief State School Officers standpoint, the dollars expended, the number of items that are collected, the duplication, the problem posed by mandated information systems, the use of private contractors, the limited lead time, and finally I think again my focus is going to come back to the relationship of data and paperwork as it would relate to achieving congressional intent.

I believe I should say at the outset here, while I am discouraged with the paper work I think it is our collective responsibility do do something about this; that we as Chief State School Officers may have contributed to the problems here, and states contribute, congressmen contribute; it is kind of a snowballing effect.

I think there have been some changes in attitudes toward data collection. I think we are now realizing this is like a commodity, something that has to be developed and produced by somebody and paid for by someone or some agency. So I think we are rather positive there have been some changing attitudes brought about by the Paperwork Commission and various other groups that lay a good groundwork here if we can get together on some of the recommendations.

I would mention that from the standpoint of the cost aspect in Colorado we have been working on this for about the last two years. A specific example—one reason I am encouraged by the attention the Federal Government has given to this—last summer the U.S. Office of Education funded a program that the State of Colorado conducted, in which we had representatives from all the states and territories meet in Denver to go over how to reduce paperwork and data acquisition at the state level, things that we could control.

The Office of Education was very helpful in that, and we tried to do a good job on this. Our studies have yielded the finding of about $1.31 for every item that we are collecting, that is, every time you would ask a question, how many students in the sixth grade, that would be an item, and our total cost of compiling all this would run about $1.31.

Some items are expensive. They run as high as $20 on some of our studies for districts and our processing. We calculated the expense of the Office of Civil Rights Forms 101 and 102 at about $200,000 for our state. That is the state level, and it would not include any processing at the Federal level.

We have also estimated that Colorado spent last year for educational data, kindergarten through 12th, exclusive of higher education, probably somewhere between three and four million dollars.

Translating that to other states, this would mean that the state cost of data could well approach about $300 million, and I suspect that is a very conservative figure for last year, putting together the data that finally came to the Federal offices.

Then there would be your costs on top of that. The cost of data is hard to calculate because there are many hidden costs and because many times we give a summarized total to the Federal level that may in fact represent many millions of items, almost as it did in vocational education recently, where some 10 million items were accumulated by our 181 school districts but translated to only 1,000 items that finally came in a summarized form to the Federal offices.

We are encouraged by something that was mentioned by the previous speaker in terms of the contribution made by the Educational Data Acquisition Council and the review this group has brought to the data problem. I would commend our previous speaker on her part in that.

Let me mention a couple of items that I did not find had been covered in some of the previous testimony. One is the use of private contractors and the control of private contractors by Federal agencies who in themselves may be really protecting the state and Federal interests on the data, but when you inject in the element of the private contractor to some extent that contractor must be sensitized to the problems of collecting data.

I felt in a recent involvement that our state had for instance with a private contractor about to collect information on the bilingual-bicultural programs under Title VII, that much work has to be done with private contractors.

There was statutory provision for NIE to involve the private contractor, but that contractor must also be sensitive to the kinds of things that we talked about this morning or you have injected another element here that is going to run roughshod over the states too.

We are concerned about the occasional demand by statutes and by agencies for retroactive data. We got into a little of this with the Office of Civil Rights, Forms 101 and 102, where we had to go back and kind of recreate as best we could data from the 1975-76 school year and there was a retroactive there that probably made some of that data invalid. That, I think, is to be avoided.

In summary of the problems, the reduction I think in paperwork is only one aspect of this. The other aspect is to make sure that the data collected is feeding back to Congress and helping bring about an assessment of whether that particular bill or act did in fact achieve the intent of that legislation. Therefore, I am arguing that data is important, data must be given a high priority but it must be done on a very selective basis and it must go back to the policymakers.

I think that the previous speaker indicated the reaction of the states and the local school districts.

I think it is safe to say if there was a feeling the data were being used, and used to evaluate progress and change in education, you would find the states very strong in presenting the data needs that would flow back to you.

I think it is fair to say that in Colorado and elsewhere the one common theme that I hear around the state has to do with reporting back to the constituent the quality of the educational program.

Likewise, I would like to think at the Federal level and for Congress, that your ultimate aim has to be in terms of determining whether or not something was achieved by passing that legislation. I think the one breakdown in data has been that it has not come back to the policymakers as a judgment on the appropriation and the act passed that stimulated programs in handicapped vocational, and so forth, with a hope and prayer but no concrete data sometimes.

The recommendations I would focus on very quickly. There has been a lot of progress in centralizing the review of data collection forms. Much progress has been made there but still work needs to be done so there is a consistency from one agency to another in the review of these forms and the basis for collecting this data that every agency has to respond to. I mention progress has been made but we should continue in that area.

The work of the Educational Data Acquisition Council has been very good, and I think that has led to a preliminary review of forms that has been helpful to the states. It should be expanded. We set in motion in the Council of Chief State School Officers a committee on evaluation and information systems that we refer to as CEIS, very closely with the number of agencies here with very good results by our involvement on that. I think that has helped the feeling between states and the Federal Government.

Thirdly, I think that the idea of funding some of the major data collection efforts would be valuable. I notice you indicated schools are still reluctant even when funds are made available. I think, however, that if you can combine those funds with a purpose that is understood by all and a feedback that ultimately will come back to the states, that would still be important.

A centralized integrated management system I think would be helpful because we are still getting many f the agencies asking for the same kind of information and if there was some kind of central depository at the Federal level, and that common core of data is an essential aspect from our standpoint to see developed, this would eliminate the redundancy.

We would like to see that the Federal data collection activities are handled and processed through the state education agency. In OCR forms that go directly to the local district, often they are asking for information that the state has collected. We could just as easily have transmitted 90 percent of some of the information requested to OCR on behalf of the school districts, and there was about 10 percent unique to the school district that could have been sent in, but as it was, every district reproduced the same data.

Number 6 on my sheet, the tying together of the categorical program requests such as vocational education and special education, not as separate information systems but as a part of an integrated system, so that as the vocational people working in the Bureau of Handicapped have need for educational data, they then extract from this common core of data generally collected items things that meet their needs and then add only on those things that are unique to vocational and special education.

The important thing in terms of timing as a general rule is to know at least by December that data that needs to be collected by the following fall. In other words, at least a 9-month lead time is necessary for states so that we can get it into our state data processing system and also into the local reporting system. If we know by December, we can prepare the local school districts for the material to be collected in the following fall. Again, OCR 101, 102, violated this to the degree that we were caught in a late fall announcement for data due in 3 months, yet completely out of sequence with our normal collection.

Finally I would like to deal a little bit with the importance of the legislation. Right now, in terms of data—and I am going to deal only with data as it relates to the evaluation of programs, which is probably the most essential direction we need to pursue at the Federal and state level.

In looking over the Elementary and Secondary Education Act provisions, the requirements for data, for evaluation, vary all the way from a general charge to the Commissioner of Education, to develop a valuation program to be used by the states, a very general statement, to specific request charging an agency like NIE to put together information that will come back to Congress with some of the specifics.

We have other legislation that allows the local school district to develop and evaluation process and forward that data in, so then you are faced with getting perhaps sixteen or seventeen thousand districts submitting evaluation data with no common direction, no way that you can possibly evaluate that at the Federal level.

Therefore we have a wide range of this. I think if a model has any value at the state level, what we are trying to do in Colorado might be looked at in this sense. When a piece of educational legislation is drafted, we start at that point writing the rules for that piece of legislation. We do this while the session is pending or while it is in session because then those rules are being thought through by staff members and local and state people.

You begin to see there are certain provisions in that law that is being proposed and debated that will lead to trouble in writing rules and regulations. At that point you are able to adjust the legislation to correct those kinds of problems that you are going to run into.

The second thing that is done is that a data impact report is developed with that piece of legislation so that the amount of information to be collected is known and the estimated cost is also attached to the bill so that the legislators, in looking at the piece of legislation, begin to get an idea of the total impact of that bill should it pass the session.

How much of that is possible at the Federal level I would not be able to judge. I think you have done some of that already, but we would certainly want you to do more than that if at all possible.

Number 10 in the recommendations is a suggestion to the administrators of the various Federal agencies to realize when something is put into effect like the Federal handicapped bill, 94-142, that many states have already developed rather large data bases on this very topic and that to the extent we could coordinate efforts with state collection systems, many times we could be answering questions for both state laws on handicapped as well as Federal laws on handicapped.

I think many times that coordination has not taken place between the states, the Bureau of Handicapped and the NIE, and other groups.

I think as a good example, we missed to some extent on the bilingual-bicultural. We had 12 states working in this area collecting information that could have been a data base that could have fed into the NIE study, so that again federal data could have been interchangeable with state data, and likewise our dollars could have been used for something that would have been used ultimately by NIE, an opportunity that was lost as that study progressed.

Finally, the idea that if at the Federal level there is a realization that as states improve their data collection ability and capacity, this ultimately helps the Federal Government. We have appreciated, as I have indicated before, the idea that OE and others have helped us develop our system. We are doing a better job than we were 5 years ago, and to that extent I think your data collection at the Federal level is better.

Let me close on a positive note. I do think contributions have been made by the Federal Paperwork Commission, by the Education Data Acquisition Council, by our own Chief State School Officers Committee on Evaluation and Information Systems. It has been encouraging to me to find so many of our congressmen, as we met with them, aware of the problem and wanting to do something about this. So I think the climate is there, the National Center for Educational Statistics and our previous speaker have helped this. There is a good cooperative feeling there. So I am not as discouraged.

I might mention the *Rocky Mountain News*, one of our major papers, had an editorial called "The Paperwork Disaster." I have attached that to my testimony not because I agree with it or that it represents the Chiefs' points of view, but only because this is typical of editorials that are appearing almost every three or four weeks in either the *Denver Post* or the *Rocky Mountain News* and reflects, I think, a national interest in this particular topic.

So collectively I hope we can work on this, the states and the Federal agencies and Congress. I appreciate the opportunity to be here this morning.

Mr. WEISS. I wonder if you could start your testimony, Mr. Peek, and by that time the chairman will be back.

STATEMENT OF WILLIAM PEEK, ASSISTANT TO THE STATE SUPERINTENDENT, NORTH CAROLINA DEPARTMENT OF PUBLIC INSTRUCTION

Mr. PEEK. I bring to the committee, similar to Dr. Frazier, my perspective and viewpoint. Although from North Carolina, it has a similar kind of base to the one he gave to the committee.

[The statement of William Peek follows:]

PAPERWORK PROBLEMS
IN
ELEMENTARY/SECONDARY
EDUCATION PROGRAMS

A Statement to the Subcommittee on Elementary, Secondary, and Vocational Education of the Committee on Education and Labor

Wednesday, May 25, 1977

by: William W. Peek
Assistant to the State Superintendent of Public Instruction
North Carolina Department of Public Instruction
Raleigh, North Carolina

Mr. Chairman and Distinguished Members of the Committee:

It seems to me to be appropriate that I begin by expressing our appreciation for this opportunity to present to you the viewpoint and concerns of the North Carolina Department of Public Instruction regarding paperwork problems in elementary/secondary education programs. This viewpoint and accompanying concerns will not, I am sure, be completely new to you since they are shared in by most of the state and local education agencies in the Nation. Despite this fact, however, it is heartening to be given the opportunity to express our own version of these concerns to those who are in position to make decisions that will lessen or eliminate the problems---and for this opportunity, we are grateful.

The North Carolina Department of Public Instruction, an extension of the Office of the State Superintendent of Public Instruction, recognizes and understands the needs of Congress and of the United States Office of Education for educational data and supporting information. We are also keenly aware of the massive response burden placed on state and local education agencies by ever-increasing data collection requirements. Our purpose in making this statement is to suggest ways in which data can be collected, analyzed, and disseminated, without at the same time overburdening the state and local education agencies which must respond.

Lead Time

Congress, federal agencies, and state education agencies must give more than lip service to the concept that data are not created in a vacuum. Valid data can be collected only if the data items to be collected are known at the lowest reporting level prior to the beginning of a reporting period. In order to maintain data that are valid, it must be known at the individual classroom level at the opening of the school year exactly what information will be requested at the end of the year. Further, if the data are to be maintained in a realistic and easily retrievable format, it is essential that the reporting format itself be known at the individual school level from the beginning of the reporting period.

Consistency

A closely related factor is that of consistency and uniformity. The most frustrating thing possible to the respondent is to have anticipated one reporting format only to be faced with a different format after the fact. Even though the data items themselves may be very similar, the manner in which they have been captured for one reporting format may be entirely unsuitable if a different reporting format is used. Changes to reporting instruments should not be made lightly, and changes should never be made without sufficient lead time being given to the respondent.

State Plans

Congress has made possible greater flexibility on the part of state and local education agencies by including the "state plan" approach in legislation authorizing a number of elementary/secondary education programs. Under this legislation, the states are theoretically able to write plans for administering educational programs in a manner that is both educationally sound and practical for that state. It is of great concern in North Carolina and in most other states that the United States Office of Education has designed state plan formats that decrease flexibility, minimize originality, and generally thwart any possibility for preparing the kind of clear, concise, and understandable document that Congress apparently intended. Indeed, USOE designed state plan formats have resulted in the preparation of voluminous documents that often substitute verbosity for clarity. Title IV, ESEA, state plans are a noteworthy example. North Carolina's Title IV plan for Fiscal Year 1978 is sixty pages long.

We urge that new legislation require the submission of a state plan in the initial year of operation only, with the initial plan providing for changes in subsequent years through the process of amendments to the initial plan. It is further recommended that new legislation provide that statements of assurance shall be sufficient in most instances in lieu of the detailed documentation which is required all too often in current plan formats.

Annual Performance or Progress Reports

It is reasonable for Congress to expect that annual performance or progress reports should be useful to USOE and to Congress in assessing program effectiveness. For this reasonable expectation to be factual, it is essential that state education agencies be able to provide to local education agencies at the beginning of the program year an accurate analysis of the data they must maintain for reporting purposes. Despite this rather obvious fact, states often do not know what data should be maintained during the year since reporting forms seem to evolve during the program year, and final drafts of the report forms are sometimes not available until well after the program year has ended. State education agencies then wind up playing a no win guessing game--either they collect massive amounts of unnecessary data that nobody needs or they run the risk of having insufficient data to complete reporting forms that are not developed and distributed until the program year has ended.

We suggest that all reporting instruments be finalized, reviewed, and approved by the National Center for Educational Statistics, and distributed to the states no later than nine months prior to the due date for the report.

It is further suggested that program administrators be required to justify each data item contained in any reporting instrument by documenting the authority under which it is collected and the use that is to be made of the data after it is collected. It is our belief that the quality of data will be markedly improved, paperwork will be diminished, and all educational needs, including Congressional needs, will be better served if these steps are taken.

Improved Coordination at all Levels

We have talked for years about the fact that redundancy in reporting continues to exist, that the same data items appear over and over again in different reports--but talking about it has not changed the fact that it continues to exist to a far greater extent than most of us are willing to admit. It is our contention that a reasonable solution to this problem exists through the establishment of a "common core" of educational data in the National Center for Educational Statistics with an accompanying mandate to program administrators that prohibits the collection of items of data included in the "common core" from any source other than NCES. States have had a reasonable degree of success in implementing this concept through management information systems, and there is no reason to assume that it cannot be implemented successfully at the federal level provided Congress provides initial direction and support.

Civil Rights Data

North Carolina's Department of Public Instruction has a firm and continuing commitment to provide equal educational opportunity to every child. We believe our record of support for human rights is unsurpassed by any state. Because we have consistently demonstrated this commitment and support, we have not hesitated to speak out when we found ourselves to be in disagreement with processes that we believe to be counterproductive, even when these processes have emanated from the Office for Civil Rights.

The amount of paperwork generated by the data collection mandates of the Office for Civil Rights during the past 12 months is simply unbelievable. Initial discussions between the Committee on Evaluation and Information Systems, a permanent committee of the Council of Chief State School Officers, and representatives of the Office for Civil Rignts gave every indication of achieving some common understandings. At a meeting held in June, 1976, there was a general understanding by all participants that OCR accepted the fact that several data items projected for inclusion in the 1976 survey (forms OS/CR 101 and 102) had not been maintained in 1975 in the format proposed for collection. It was generally understood that these items were to be eliminated from the final version of the report form. Instead, the form as finally distributed contained not only the items that had been agreed on as items that were difficult or impossible for local education agencies to provide but also included additional items of the same sort that had never been included in discussing versions of the report. As has been pointed out by the Commission on Federal Paperwork, a by-product of such insensitivity and lack of understanding of the burden imposed on respondents can only bring about an "atmosphere of hostility within educational institutions" toward both federal and state governments.

In addition to the fact that the need for lead time for respondents and the need for consistency in reporting instruments were both ignored by OCR in preparing the 1977 survey, they also rejected input from the states in other important aspects of the survey. Supposedly a national sample, the survey in fact included response from all 16,000 plus school districts in the Nation to form OS/CR 101, plus reponse from all of the individual schools in 3,500 school districts having relatively large minority populations to form OS/CR 102. In North Carolina, this included responses from all 145 local education agencies to form 101 and response from each individual school campus in 117 of the 145 local education agencies to form 102. Calculations based on a 20 percent sample of the North Carolina local education agencies involved indicated that this survey involved more than fourteen man years of effort that cost the state in excess of a quarter of a million dollars---!!! Because of the storm of protest from all states because lead time and respondent input were totally ignored, OCR has already announced that an identical survey will be carried out in October, 1977, despite the fact that no information is available from earlier surveys and no schedule for processing this year's data has been announced!

A very considerable amount of the information requested by the OCR survey forms is already included in state plans, projects, and report forms of other federal agencies, particularly those dealing with the Emergency School Aid Act and the Equal Employment Opportunity Act. Increasingly, similar items are being requested by such agencies as the Bureau of Adult, Vocational, and Technical Education and the Bureau for Handicapped. There is no justifiable reason for failing to capture these data items one time only during each fiscal year and requiring that each agency use data from this common core rather than requiring it separately for each function.

We are convinced--and many other states share our conviction--that OCR, EEO, and other agencies dealing with monitoring compliance must get out of the business of routine, massive data collection. We believe that Congress should direct that the data collection function in elementary/secondary education become solely the responsibility of HEW's Assistant Secretary for Education with the advice and consent of the Office of Management and Budget. We further believe that all components of the United States Office of Education and of all other federal agencies which collect data from schools should be required by Congress to collect data only as approved by the Assistant Secretary for Education, with appropriate input from the Committee on Evaluation and Information Systems of the Council of Chief State School Officers.

Zero-Based Reporting

A conceptual approach that should be most helpful in reducing the paperwork problem has already begun in a very limited way. It involves self-monitoring by the staff of each proposed data collection instrument to determine:

(a) Can this report be eliminated?

(b) Can it be amended and reduced in scope because some of the information is already available in other agencies?

(c) Can the response burden be justified in terms of the value of the information sought?

It is our opinion that this self-monitoring concept should be expanded by setting up within the National Center for Educational Statistics in the Office of the Assistant Secretary a unit that provides continuing monitoring of all educational data collection instruments submitted for approval, using the criteria set forth above. It seems realistic to require that such an evaluation be made prior to submission of the form for final approval by the Office of Management and Budget.

Surveys and Sampling

Many of us continue to be concerned regarding the impact of multitudinous surveys on the paperwork burden of local education agencies. Because sample selection is carried out at the federal level in the interest of insuring a representative "national" sample and because potentital respondent groups are generally stratified by size (population), there is a strong tendency for the same local education agencies to appear in survey samples on a recurring basis, thereby compounding the paperwork problem for those particular agencies. It would seem to us that some limitations should be established covering the number of surveys in which a state would be asked to participate in a given year, with some limitations imposed on the sample size or number of participating local education agencies selected in each state. In any event, a realistic approach to the reduction of paperwork burden must include an analysis of the impact of sample surveys on state and local education agencies.

Dissemination

It seems obvious to us that all data collection should be based on a definitive plan for the specific use of the data collected, including a schedule for analysis of the data and a schedule for dissemination of summary findings as other reports. A requirement for submission of such plans to the Assistant Secretary of Education prior to the collection of the data, coupled with requirements that schedules contained in the plan be strictly adhered to, will almost certainly have a very salutory effect on reduction of future paperwork burden.

Mr. **Peek**. Added to that is perhaps the fact that in my daily work I am in constant contact with local superintendents who add a great deal to my own knowledge of the problem as it exists in each of the local school districts.

I want to express my appreciation for the opportunity to bring to this group our viewpoints and our concerns—and we do have them. I will be able to be quite brief in that many of the points that were made by Dr. Frazier are points that are contained in my own testimony, and that is not surprising in view of the fact that I have been a long-time member of the CEIS committee, the Committee on Education and Evaluation of Information Systems, that is, a permanent member of the Chiefs. We have been on that since its inception. We probably have very common outlooks on the problem and the scope of the problem.

I would add one thing that is perhaps to tie together some of the points that have been made. I see at both the state and Federal level a kind of educational syndrome that deals with program administrators feeling that the success of a program is to some degree measurable in the amount of data collected about that program.

We talk a great deal about coordination of data collection efforts, which is the root cause of the paperwork problem that we deal with. The coordination is not going to just happen. It has to be implemented through a group of people who are authorized by statute or otherwise to implement a coordinative program and they are going to have to have the necessary support to get the job done.

I would like to underline two or three things that were included in my own testimony and that of Dr. Frazier. The lead time element is of total importance in terms of getting not only valid data but in terms of making the collection of data, even limited amounts, a less than traumatic experience. It is essential that that lead time not involve simply a few people who are knowledgeable about what is going to be collected for the next ensuing reporting period but that that knowledge be available to the persons who actually collect the data in the individual classroom back in the hills of North Carolina or Colorado or elsewhere. They need to know what questions are going to be asked of them at the end of the reporting period, and they need to know that before the reporting period ever begins because otherwise they cannot collect the data.

A similar sort of need exists in terms of the consistency and uniformity of the format on which the data is collected. Even a minor change in a reporting format may also involve a major change in terms of how the data is compiled in the individual classroom and individual school level. Changes should not be made lightly and they should never be made without giving due notice to the people involved.

I think we are very much in agreement that there is a need for at least lead time from January 1 of a particular calendar year, from that point until the reporting date, which usually falls in the fall of the year.

How do we get that 9 months' lead time? It can only be done, in my judgment, if it is done through some legislative enactment that speaks to the issue of data collection for educational programs and assigns responsibility and provides support to a particular group of people.

As to the Assistant Secretary for Education, insofar as educational data is concerned, I think Congress made a very wise decision in placing the National Center of Education Statistics under the Assistant Secretary. I think a followup step to that that would be most helpful would be to provide more specific responsibility for coordination to the Assistant Secretary and provide support for the organization that is going to implement that for the Secretary.

I would like to commend the persons in Congress who are responsible for legislation that results in certain programs being implemented through a state plan concept. The flexibility that was very apparently intended by Congress in providing for such a concept has to some degree been thwarted by the construction of planned formats by program administrators within the office. That means that plans now have become quite voluminous documents. They are not the clear, concise statements of objectives and strategies and evaluation procedures that the Congress intended, but have become rather verbose documents.

Title IV of the Elementary and Secondary Education Act is somewhat a case in point. This was a consolidation of their former programs and the single state plans should have meant more flexibility to local states and thereby local agencies. To some degree we have lost it in terms of the amount of material that are involved in the state plan format. The North Carolina state plan for Title IV is some 68 pages long, and that seems to be rather voluminous.

We would suggest that the state plan concept that is now embodied in some educational legislation be expanded but that it provide for the submission of a full state plan in the first year of operation and provide for amendments to that state plan for general users of operation, rather than a second and a third and fourth state plan that contains about 90 percent of the material that is in the original plan with certain amendments thereto. We think that would go a long way toward eliminating the paperwork burden.

The annual performance and progress reports should be valuable to Congress, to USOE, in determining program effectiveness. We think they are to the degree that the data items that are to be reported and the reporting format is available to the people who actually generate the data in the school district. If they know about it early enough, these are valid data that should be very useful to Congress and the USOE.

The civil rights surveys and other civil rights data have posed recent problems not because there is any reluctance on the part of any state to provide civil rights data; the problem seems to be one of providing that data which is needed for operational effectiveness. We have a proposal to make with regard to that particular thing. The data that is needed in the civil rights area we have now and will be able to generate in the future.

This applies not only to OCR but to other monitoring agencies. It is our belief that the monitoring agencies whose primary concern is compliance with civil rights of all types need to get into the routine data collecting basis, into the enforcement, and data needs to be provided to them. Rather than surveying 16,000 school districts to obtain data that may or may not be used, they selectively get data through a central coordinating agency, which we would suggest would be the National Center for Educational Statistics in the Assistant Secretary's office.

There is one new concept we are using with some success in North Carolina, the so-called zero-based reporting. We are looking at every form that goes out of North Carolina state agency and asking some questions about it. We think it would be completely appropriate for the same kinds of questions to be asked at the Federal level. The first question we ask is, can this report be eliminated? We have found some that can be eliminated.

The second thing is if it can't be eliminated, can it be amended and reduced in scope, because the information is available elsewhere in the state agency or elsewhere in the Federal agency, if that is what we are talking about.

I think that would cut out a tremendous amount of reporting if there was some cross-fertilization so far as data already available in one agency or another.

Finally, can the response burden be justified in terms of the value of the information sought? We have done some sampling of costs estimates. I will give you only one example. We are certain that OSR Forms 101 and 102 cost the State of North Carolina just under $300,000, and that does not include any expense at the Federal level at all.

Chairman PERKINS. Let me thank you and Mr. Peek for your appearance here. I know your school superintendent in North Carolina; give him my good wishes.

Let me compliment you all. I will start with you since you completed the testimony, Mr. Peek.

Yesterday the superintendent from the State of Arizona told us that she has cut back by 60 percent on paperwork in Federal programs. Have you studied that effort and tried to do the same thing in your state? I would like all of you to respond to that question.

Mr. PEEK. Yes, sir, I can respond for North Carolina. We have perhaps not been as successful as the Arizona superintendent. We have cut back approximately 40 percent on what we were formerly doing, and we did that because we collected it one time and then transferred it to various state agencies, who in turn reported it to their counterparts in USOE.

Chairman PERKINS. You go ahead and answer the same question, Ms. Eldridge.

Ms. ELDRIDGE. In terms of the National Center's efforts on reducing the burden on the forms that are out in the field which have passed the review, the major thrust has been achieved in our state assistance and personnel exchange programs, where we are attempting to make available to the states the expertise that other states have developed in data processing and systems so that they can improve their own capabilities.

The long-term goal is to reduce the amount of paper to the extent that we can have the states provide the data to us in automated fashion. We have no problem whatsoever in accepting tapes which we can utilize. As long as the tapes are fully documented, there need not be specific pieces of paper transmitted. This is not something that is going to happen overnight, but this is one of the major goals of our state assistance program.

Chairman PERKINS. Go ahead, Mr. Frazier.

Dr. FRAZIER. We could not claim the results Arizona did, although we did many of the same measures. I think our reduction in Colorado was about 16 to 20 percent, which was still substantial, but fortunately for us it came at a time that that new law was being implemented on handicapped which jumped it up, but we went back.

Chairman PERKINS. I am going to ask the minority counsel here if he has a question.

Mr. RADCLIFFE. Ms. Eldridge, do you have any percentage figure or any guess as to the percent of data requests that are being generated by the Office of Civil Rights?

Ms. ELDRIDGE. Are you referring to what has been imposed by the Office of Civil Rights?

Mr. RADCLIFFE. Yes.

Ms. ELDRIDGE. That is really all we can talk about. I do not have it in terms of percentage but I do have some figures which I have received from the OMB. You will recall that the responsibility to review the OCR data collection efforts was not in force when the spring 1976-77 survey hit the field this year. The figures I have on the 101, which involved 16,000 districts—that was the universe study for 1976-77—was estimated by the Office of Civil Rights to involve 3 hours per state. That is an average that is used. When you aggregate that, it is roughly 48,000 man-hours of burden on the 101.

On the Form 102 which went to about 47,000 schools, in a sample of some 3,700 districts, the burden was estimated at an average of about 5 hours per school, which aggregated about 235,000 man-hours' burden. Therefore, the combined burden of the Forms 101 and 102 for the 1976-1977 survey would come to about 283,000 man-hours.

Mr. RADCLIFFE. Are there any other surveys on the man hours required for the total request of the Office of Education?

Ms. ELDRIDGE. I would like to ask Mr. Stolzenbach to address that. He has the tables which we are submitting into the record.

Mr. STOLZENBACH. In the tables I have submitted for the record, for the elementary-secondary school system the estimated man-hour burden is approximately 1.2 million man-hours.

This breaks down into 56,000 man hours for state agencies, 760,000 man hours for local agencies and 370,000 for other miscellaneous types of state and local respondent agencies and institutions.

Mr. RADCLIFFE. Is that an aggregate of about one million man hours?

Mr. STOLZENBACH. Yes, and this is just for the Office of Education. Actually NCES represents about 7.5 percent of the total man hours of the entire burden on the elementary-secondary school system and NIE about 2.5 percent. Of the OE data collected, program management, including applications, and evaluation data, represent 90 percent of the total burden on the elementary-secondary school system.

Mr. RADCLIFFE. It comes from OE?

Mr. **Stolzenbach**. Yes.

Mr. **Radcliffe**. How soon will the Education Data Acquisition Council be able to clear all forms by January lst for the collection of data? At what point will you arrive at a position, where in January 1, 1978, you will have all the forms cleared that are going to be used in the school year beginning in September?

Ms. **Eldridge**. I believe they are pretty much there now. We have respected the request of the Council of Chief State School Officers to give them nine months' notice. This is, of course, not possible in the Office for Civil Rights, and again, I reiterate, the 1976-77 survey didn't come through EDAC. It is a continuous process. I don't think we will ever come to one hundred percent because crises do arise.

Mr. **Stolzenbach**. I estimate that, with the momentum achieved since the beginning of EDAC operations last April, by this time next year we will have reviewed practically all of the reporting activities of the Education Division; and while I don't really know what the volume of activities coming from the Office for Civil Rights will be, I don't believe, in terms of numbers of forms and reporting requirements it is going to loom large.

It is interesting to note in this connection that, of the OE forms that are placed on the elementary-secondary school system, it is the first 20, in terms of man hour burden ranked in descending order, that account for 80 percent of the total OE burden.

We are certainly going to get to all of those, probably within the next 6 to 8 months.

Mr. **Radcliffe**. I would imagine a large part of the problem rests in the varying demands made in Federal legislation, one piece of which originates in one subcommittee and one in another. Sometimes they are not at all well coordinated, particularly in terms of data demands and that sort of thing.

Are you reviewing the legislation and in order to be in a position where the Department can make recommendations for consolidating these demands, cleaning them up and reducing them where they are unreasonable?

Mr. **Stolzenbach**. The last paragraph in Subsection 406(g), which you enacted last year, invites that kind of inquiry, and we are certainly going to do it. We are going to first start with the regulations which contain reporting requirements and determine those areas in which the program managers find they don't really use information called for by regulations written years ago. Certainly we have it within our own powers to initiate modifications or elimination of those regulations.

You are quite right, there are duplicating and overlapping and sometimes conflicting legislative requirements and the President has directed the Department to look at such situations and make recommendations to the Office of Management and Budget for corrective legislative proposals.

Mr. **Jennings**. If I could point out in that regard, on February 8th Congressman Perkins sent a letter down to Secretary Califano asking for assistance from the department in giving us suggestions on how the career education bill could be better drafted to eliminate any duplicative requests for information that might result.

On February 26th the Secretary sent back a letter saying he would be more than pleased to do that and he directed the National Center to give us a memorandum by March lst. We reported the bill in March. It was passed on the House floor in April and we have yet to receive anything from the National Center for Education Statistics regading suggestions for how that type of legislation could be improved to avoid duplicative requests. I think there was an attempt on the Chairman's part with that particular bill to try to do away with any legislative requirements that might cause unnecessary paperwork and we have yet to receive anything even though now the House has passed the bill.

Ms. **Eldridge**. That is a very difficult thing for me to respond to.

Mr. **Jennings**. I know it is difficult. I just want it to be on the record that in this instance Chairman Perkins did try to cooperate with the department ahead of time in order to do away with any legislative requirements that may impose unnecessary requests and we did not get cooperation from the department, for whatever reason.

Ms. **Eldridge**. Are you telling me that at no time, as of this date, you have received a response on that?

Mr. **Jennings**. That is correct. I hope the Senate is able to receive something before they mark up their bill.

Mr. **Radcliffe**. Well, that is a problem.

Mr. **Peek**. May I add one thing to what has been said about the impact of OCR reports as compared to OE reports? The estimates given of the respondent time for OCRs, they would have been, I think, valid and accurate estimates if the lead time that I referred to earlier had been given.

In view of the fact that many of the questions asked had been totally unanticipated by the persons responding to the report, the estimates themselves are invalid. I would say it is more like three times the amount of time that they are talking about.

We did some sample surveys to try to assess respondent time and it came out more than three times the amount of time involved that was given in the OES.

Mr. **Jennings**. May I ask a couple of questions?

Let me apologize to you all first of all for the absence of the members this morning, but the House went into session at ten o'clock. Because of the new budget act all the authorizing bills have to be reported from committee by May 15th and then the House and Senate have to finish all their work over the summer. They have an avalanche of bills facing them in the House and they have to go in early every day and stay late to get those enacted.

There are also two other subcommittees meeting this morning which present some competition also. But the printed hearing record will be very valuable in this regard.

Let me ask you two questions having to do with particular amendments. As I see it, there is some concern about particular program requirements, whether resulting from legislation or resulting from regulations, and there is also a concern about administrative practices which seem to build up on their own and cause unnecessary requests.

Would anybody have any problem with an amendment which would in fact require that any data requests have to be announced by January 1st before they could go into effect for the succeeding school year? Are there any practical problems with putting that into legislation and then possibly putting in a waiver provision for extraordinary circumstances or emergency situations? Ms. Eldridge, if you could respond first.

Ms. **Eldridge**. I am thinking hard and fast about that in terms of implications. We are currently trying to abide by that with regard to the nine months lead time. I would prefer that it not be specifically legislated, but we would certainly attempt to conform as best we can.

Mr. **Jennings**. It would be appreciated if you could submit a memorandum for the record.

Ms. **Eldridge**. I will be glad to do that.

Mr. **Jennings**. There may be some problems.

[The information requested of Ms. Eldridge follows:]

Affording respondent's a nine-month lead-time has been our goal; however, it is not always practically possible—particularly in the case of a new program requiring an extensive hearing process before the regulations can be issued, or, in the case of evaluation studies that require a contract effort to design the survey and for which contracts can't be awarded until appropriations are enacted. If the Congress wishes to assure such a lead-time, it would be preferable to make it a specific stipulation in each legislative authorization and in each appropriation.

Mr. **Stolzenbach**. I would only see two areas in which it might be a problem. First, where the Congress enacts a new program, say in late summer or early fall, and it is expected that this program will be put into effect as soon as possible. Second, in the case of some of the extensive evaluation studies, for which the money is not appropriated until late in the year, the time required to crank up the evaluation study and let a contract puts the Office of Education in a very difficult time-bind.

If you were to consider such legislation, I think these two problems should be recognized.

Mr. **Jennings**. Are there further comments?

Dr. **Frazier**. I think that is a sound direction in which to go. Your suggestion of a waiver I think might cover the kind of things Mr. Stolzenbach would be talking about.

I think it would tend to force agencies to justify anything short of the 9 months warning and at least allow us a chance to present our case to somebody as to why this is going to pose a problem and also the problem discussed in the validity of the data they are going to get. It would give us a hearing, I think, with the kind of provisions you are talking about, that would not now exist.

Mr. **Peek**. I would endorse what Dr. Frazier is saying. I would add to that that with a waiver provision it might very well be a valuable tool for EDAC and NCES, in that it would speak to program administrators who are sometimes a little slow in preparing materials which you need to evaluate. I think that might be a plus from their point of view.

Mr. **Jennings**. My second question on amendments has to do with applications. I think the tables just brought up this morning are very valuable. I hope people are able to study these a little bit but from what I understand, the third table you have here shows the total number of—is it man hours?

Mr. STOLZENBACH. Yes.

Mr. JENNINGS. Consumed in data collection. 767,000 out of 1,190,000 man-hours are consumed with the application procedure, 261,000 for program management, and 162,000 for evaluation activities.

Now, if the application procedure consumes this much time, which I guess is almost 65% *of the amount of time consumed in* data collection, possibly some attention should be directed towards the application process.

One thing which has been suggested at several meetings is that possibly in some programs such as Title I of the Elementary and Secondary Education Act, instead of requiring an annual application there would be an application which would be good for two or three years. In particular, it has been suggested that the needs assessment required by the legislation does not necessarily have to be done every year, but rather it can be done every two or three years.

I would like to know whether any of you have any comments on that type of amendment which would loosen up the annual application requirements and make applications good for two or three years in certain types of ongoing programs.

Mr. PEEK. I spoke partially to that in talking about the state plan concept and the fact that we would very definitely favor an initial state plan or initial application that could be amended by simple amendment rather than by the initiation of a completely new plan, or application.

Ms. ELDRIDGE. You undoubtedly noticed in the *Washington Post* yesterday that Secretary Califano has killed the Basic Opportunity Education Grant application form. This action, of course, is not reflected in the data we are presenting here. It is that sort of thing that I think has to be looked at very carefully.

Mr. STOLZENBACH. We are trying, in EDAC, to squeeze out of these applications all of the data they are asking for that are not absolutely required in order to ascertain eligibility for the grant. Needless to say, with 125 different programs, and with a body of regulations which has been built up over a long period of time, this is not an easy matter. We are trying to bear down very hard on this.

Dr. FRAZIER. We would like to just indicate support for what you are saying. I think the Chief State School Officers have been concerned that until we get to where we have three-four year long-range plans with only submitting amendments to this that it is one thing that is preventing us from getting to the third item on this agenda and that is the evaluation.

In my own department, I spend so much time on the application that when I come back to press for discussions and evaluation and the progress being made, and changes based on those things I am frustrated in getting the time devoted to that which goes to the first so when you connect the two I think what you are suggesting is very important.

Mr. JENNINGS. The only problem I see to it is assuring there is enough of an audit trail so that there is no problem when the auditors come in later for any type of review to assure that the funds were spent for those purposes. But, from what I understand, in many instances local school districts now just Xerox their needs assessments from the prior years and keep them going forever. It doesn't seem as if that requirement is resulting in much right now, and possibly some thought should be given to changing it, as long as an accountability is kept in there for use of the funds.

Mr. RADCLIFFE. Back under EDAC, I don't understand Table 1. What is a data acquisition activity?

Mr. STOLZENBACH. This is a term that you used in Section 406(g). We had previously called them data acquisition systems. Any form, survey, instrument or reporting requirement that is subject to the Federal Records Act of 1942.

Mr. RADCLIFFE. Secondly, on the status of these, you have the terms proposed and approved and you seem to have more approved than proposed. I don't understand.

Mr. STOLZENBACH. This is the plan for the next fiscal year. We have a Form ASE 1000 on which we ask sponsors to describe all of these data acquisition activities. In the spring of each year, we ask for those they intend to use in the ensuing fiscal year. These 94 proposed ones are in our inventory for the fiscal year 1978, but the sponsors have not yet come forth with the specific details so that we can review them.

Mr. RADCLIFFE. So if all of those are approved, you will increase the number by about one-third?

Mr. STOLZENBACH. I should add, over the years I have observed—looking back at some of the statistics there seems to be about 100 new forms every year. Some of the 351 are one-time surveys or reports, so that it doesn't mean there are 351 continuing ones, but once we get caught up, the annual review of new activities will probably be on the order of 100 a year; maybe somewhat more than that when we start getting into the OCR ones.

Mr. JENNINGS. Ms. Eldridge, you pointed out you had in fact turned down some data requests for the first year and you tried to explain that in terms of the number of man hours which would have been consumed. What percentage of the total data requests made to you did you turn down during the first year?

Ms. ELDRIDGE. We turned down seven out of 156 reviewed and we modified 17.

Mr. STOLZENBACH. I might add that the modifications reflect a much more important amount of burden reduction than the ones that were actually killed.

Mr. JENNINGS. Did I understand your statement correctly when you seemed to imply that during the second year you thought you would have much better control over the situation and would in fact be turning down more requests and modifying more requests?

Mr. ELDRIDGE. I believe we are learning as we are working through the system.

I should also mention that there is certainly a reasonable data burden reduction that we will never measure in that the mere presence of EDAC has imposed on the program sponsors a greater sensitivity to answering the questions of necessity, redundancy, etcetera, which are the criteria that they must meet to pass through EDAC. So I believe there is a much stronger front-end effort on the part of the program sponsor in terms of presenting to us what they think will pass the EDAC review. That, of course, we cannot measure, but I think it is there.

Mr. JENNINGS. Are you also looking at the entire clearance procedure within the Administration? As I understand it, there is an internal Office of Education review of data requests and then there is a review by your council, and then there is also a review by the Office of Management and Budget. So there tend to be three reviews and sometimes reviews within those reviews.

I have been told that for a typical evaluation request from the Office of Education it can take up to 17 months for the usual request to go through from the initiation stage to final approval by OMB. Now, is that statistic accurate for most requests for data and, secondly, are there any duplicative steps in this procedure? Are there too many reviews, should there be a centralized review somewhere in the process?

Ms. ELDRIDGE. There are three reviews. I can't verify the figures that you cited as being the valid ones at this point.

Let us talk about the process in the Office of Education, something external to NCES. The Office of Education has its own clearance officer who has the responsibility to negotiate with OMB. There have been discussions dealing with this process. We are currently considering the possibility of merging those functions into EDAC. It is not at all clear at this point whether that is a wise thing to do at all.

Mr. JENNINGS. Merging the OMB review and yours?

Ms. ELDRIDGE. That is correct. It is not clear at this time, and I am not taking any position on that other than to say we are looking at it very carefully.

In terms of the redundancy with OMB, the Associate Director of OMB, Mr. Duncan, sits on our EDAC Council as an active participant and is extremely supportive of EDAC and conceives EDAC as a very important front-end review which does minimize the review that has to take place at OMB.

If EDAC functions properly, then all the redundancy problems within the Education Division presumably will be handled and the OMB then needs only to look at redundancies with other agency requests.

Dr. Duncan has been extremely supportive of the EDAC operation. I do not believe there is a redundancy between the EDAC and OMB

Mr. JENNINGS. Another complication has to do with other requests in other agencies of the Federal Government with regard to educational institutions. We were left with the impression yesterday from the testimony of Congressman Horton of the Commission on Federal Paperwork that the Office of Management and Budget was considering not only giving your review council more responsibilities as regards the OMB review, but also expanding your responsibilities so that possibly you would be reviewing other requests from other agencies outside the education division. Do you know anything about that?

Ms. ELDRIDGE. The Council of Chief State School Officers passed a resolution last year to the effect that they would like to see the National Center for Education Statistics be the focal point for all data collection efforts.

I believe the provision in 94-482, which gives us the responsibility to oversee the Education Division, and has expanded it now to OCR, is a step in that direction. But with the current staffing level and the budget which we have, I would not welcome that expansion at this point.

Mr. JENNINGS. Do you believe that you have sufficient staff right now to fulfill the duties given you by the Education Amendments of 1976?

Ms. ELDRIDGE. No. We are hiring temporaries in lieu of people to fill permanent slots. The EDAC review function is currently supported through review groups who do this on a part-time basis once a week. However, I believe they are not able to do as thorough a job as they could do if we had a dedicated staff?

Mr. JENNINGS. Ho many people do you have charged with this responsibility within the National Center?

Ms. ELDRIDGE. We now have four full-time people.

Mr. STOLZENBACH. The major part of the review process is performed by the some 30 people from the agencies who serve on the EDAC review groups.

Mr. JENNINGS. How many people do you anticipate you would need to do this job?

Ms. ELDRIDGE. I would be glad to submit that for the record.

[The information requested of Ms. Eldridge follows:]

At present there are only four full-time NCES staff assigned to EDAC review functions—one senior professional and three administrative and clerical. To enable us properly to interact with project sponsors and to do a thorough technical review of each proposed data activity would require a minimum of three additional permanent full-time professional staff and two additional administrative/clerical positions.

Mr. JENNINGS. If I could ask you one last thing, I notice in your statement that you cited this study which you are having done on data requests and data needs, and one of the preliminary findings you cite in your statement is that possibly the Federal Government ought to share in the cost of data collection.

Do you have any comments on that? Statistics have been cited already showing how much it costs per data item, but do you have any further information about such funding?

Ms. ELDRIDGE. We currently have a feasibility study in the field on the Common Core of Data. Twenty states have responded. As I indicated in my prepared testimony, the estimates of the cost, the incremental costs to respond to common core of data system, are extremely variable. They range from $3,000 for one state to $1.5 million in another state. The costs depend to a great extent on the sophistication of the system the state has in place and what data the state is currently collecting.

Mr. JENNINGS. If I could ask one other question: This last table you have, table 4, is fascinating in that, as I understand it, it shows the percentage of the total man hours consumed in data acquisition within the Office of Education for each of the various education programs. One program, the Migratory Education Program under Title I, if I understand the table correctly, consumes 13.1 percent of the man hours within the Office of Education for data collection.

The thing that strikes me right away is the lack of congruence between the amount of money involved in funding these programs and the amount of time used in collecting data on them. The Migratory Education Program is not a very significant program in terms of funding and number of students as compared with the regular Title I program. Yet all these other programs such as the Title I Migratory Program, and the Community Education Program, which is a very small program, rank ahead of the first reference, to man-hours consumed in the regular Title I program. This reference, which deals with Title I comparability, is probably the most detailed information required in the Title I program, and ranks near the bottom of the list. Title I comparability consumes 3 percent of the man hours in the Office of Education, and yet it is a $2.4 billion program. If you compare that with community education which consumes almost the same amount of time, 3.4 percent, and which, I think, has no more than $3.5 million as an appropriation, so you see there is really a disproportion in the amount of time spent on these programs as compared to their appropriation.

Dr. FRAZIER. I think there is a feeling on the part of the states that as we get materials presented to you on the estimated cost of compiling some of the data, that probably these estimtes are really quite low in terms of the backup we know has taken place at the local level and at the state level. In the prepared testimony there is a suggestion that perhaps through the Center's work, or others, that there is kind of a systematic sampling of the cost.

In our state we send a simple card out on sample forms and a district is asked to report back the amount of time down to a half an hour that certificated people participated in the studies, clerical people and others, and finally for an estimate dollar cost.

That is attached to the form that comes back to us with the data. This gives us a chance to monitor the cost/benefit of the information used and so forth. I think somehow at the Federal level just on some sample basis if you did the same thing states would have a chance to express to you the actual cost of this. There is talk about that, but we could encourage that.

Ms. ELDRIDGE. We are currently considering the possibility of including at the end of every questionnaire that goes out a request for the estimated man-hours spent and the associated costs so we will have a better handle on the initial estimates. I think all of us are quite aware that the burden estimates are rather soft.

Mr. STOLZENBACH. I must reiterate the fact that these estimates are only the estimates of the project sponsors.

Mr. JENNINGS. Ms. Eldridge, I want to say the congressmen were impressed with the way you took charge of the National Center and reorganized it. You put it in much better shape than it had been before. When they came to considering methods of trying to control paperwork, they felt you were the person and the National Center was the organization they could rely upon to at least get the task started. So I don't think you should take any criticisms which have come up this morning as personal criticisms. They are criticisms of the entire process. It is just that the congressmen are very concerned about this problem and they definitely want to do something. I believe that unless something is done administratively you are going to have something done legislatively. I think the Congressmen look upon this control of paperwork amendment which passed in 1976 as the beginning of an effort to get a better control on paperwork and I think they would like to build from there. So the criticisms are meant to try to spur the Administration to get a little better handle on this type of problem.

Ms. **Eldridge**. I accept that.

Mr. **Radcliffe**. I would agree with that statement.

I think you are getting this assignment as a result of having done an excellent job.

Mr. **Jennings**. We will continue at 9:30 tomorrow morning. I would also like to inform Ms. Eldridge that the Chairman will be sending her a letter of additional questions we did not have time to pursue at today's hearing, and, at the Chairman's request, her response will be inserted in the record.

[Whereupon, at 11:15 a.m. the subcommittee was recessed, to reconvene at 9:30 a.m., the following day, Thursday, May 26, 1977.]

[Information requested of Ms. Eldridge follows:]

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE ASSISTANT SECRETARY FOR EDUCATION
WASHINGTON, D.C. 20202

NATIONAL CENTER FOR
EDUCATION STATISTICS

20 JUN 1977

The Honorable Carl D. Perkins
Chairman, Committee on
Education and Labor
House of Representatives
Washington, D. C. 20515

Dear Mr. Chairman:

This is in response to your letter of June 8, 1977 requesting that we expand on the information provided at your recent hearings on paperwork problems in Federal elementary and secondary education programs.

The information shown on the tables furnished at the hearing is based on an estimate prepared in each program office and submitted to NCES for use in the EDAC review process. However, any analysis focusing exclusively on Federal forms is inherently misleading. This is because some of the laws and regulations governing the various programs place primary administrative responsibilities on the States, which in turn generate their own forms requiring no Federal approval. The program offices at the present time have no knowledge of the magnitude of the pass-through effect of these statutory requirements at the local agency level.

A prime example of this is the diverse way in which two programs under Title I of the Elementary and Secondary Education Act of 1965 are administered.

For the ESEA Title I-Migrant program, a Federal application form, the OE-312, is completed by each applying state, which may, in turn, require local agencies to submit the same form to them.

In the Title I-LEA program, although there is no Federal application form, regulations (45 CFR Part 116) issued in accordance with the statute require States to develop their own application forms that are completed by local agencies. The States merely assure the Office of Education that the requirements of the law will be met. Thus the usual tabulations of overall manhour reporting burden do not account for what is in reality a Federally generated burden imposed on local agencies. Estimates quickly elicited from a small sample of States suggest that the State administered Title I-LEA application process may require from 150 to 400 manhours annually per local agency, or a national total of approximately 4.5 million manhours.

In addition to such differences in the form of program administration, another problem in interpreting manhour figures is the fact that these figures are merely estimates, and in many instances very rough estimates indeed. It is evident that there are a variety of perceptions as to what manhours are to be included.

Until the recent upsurge of concern about paperwork, these figures were used primarily by the Office of Management and Budget in compiling broad measures of the impact of Federal reporting requirements. Now, with the President's Reporting Burden Reduction Program, greater attention is being given to the accuracy and meaning of manhour burden data.

Attached is a chart setting forth the additional information you requested on Office of Education elementary and secondary education programs, as calculated from program estimates.

Sincerely,

Marie D. Eldridge
Administrator

Attachment

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS,

AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

Type of Assistance	Authorizing Legislation	Hours			Appropriation		
		Number (000s)	Percent of total	Cumulative percent	Dollars (millions)	Percent of total	Cumulative percent
1. Programs for migratory children (OMB 13.429)	Elementary and Secondary Education Act, Title I, Sec. 122	255 1/	19.7	19.7	131	2.8	2.8
2. Programs for disadvantaged children (OMB 13.428)	Elementary and Secondary Education Act, Title I	240 2/	17.8	37.5	1,721	36.8	39.6
3. Vocational education - basic programs (OMB 13.493; 13.494; 13.495; 13.499; 13.501; 13.558)	Vocational Education Act of 1963, Parts B, F, G, H, J, and Sec. 102(b) and 104	181	13.5	51.0	535	11.4	51.0
4. School maintenance and operation (OMB 13.478)	School Assistance in Federally Affected Areas (PL 81-874)	121	9.0	60.0	768	16.4	67.4
5. Indian Education (OMB 13.534; 13.551)	Indian Education Act (PL 92-318)	88 3/	6.5	66.5	25	.5	67.9

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*Estimated by OE Program Offices

1/ Figure includes 156,000 manhours to complete the Federal application form, OE-312, which is used by an estimated 1,900 local agencies.

2/ Figure includes 164,000 manhours for a one-time evaluation study required by the Education Amendments of 1974 (PL 93-380); not included are an estimated 4.5 million manhours spent by local agencies using State-administered application forms pursuant to Federal law and regulations. Figure also includes 72,000 manhours for the ESEA, Title I Comparability Reports.

3/ Figure includes an estimated 75,000 manhours to complete the Indian Student Enrollment Certification form OE-506. This form is completed one time only by parents of approximately 300,000 Indian students.

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NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS,

AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours			Appropriation		
		Number (000s)	Percent of total	Cumulative percent	Dollars (millions)	Percent of total	Cumulative percent
6. Desegregation assistance (OMB 13.525; 13.526; 13.528; 13.529; 13.530; 13.531; 13.532; 13.405)	Emergency School Aid Act, Title VII (PL 92-318) and Civil Rights Act of 1964, Title IV	82	6.1	72.6	275	5.9	73.8
7. Supplementary educational centers and services, guidance counseling, and testing for the handicapped (OMB 13.519)	Elementary and Secondary Education Act, Title IV-C	82	6.1	78.7	20	.4	74.2
8. Education for the handicapped (OMB 13.444; 13.445; 13.446; 13.450; 13.451; 13.452)	Education of the Handicapped Act, Parts C, D, and F	65	4.8	83.5	111	2.4	76.6
9. Community schools (OMB 13.563)	Education Amendments of 1975, Special Projects Act, Sec. 405	54	4.0	87.5	4	.1	76.7
10. Bilingual education technical assistance coordination (OMB 13.403)	Elementary and Secondary Education Act, Title VII	34	2.5	90.0	4	.1	76.8

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*Estimated by OE Program Offices

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS, AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours			Appropriation		
		Number (000s)	Percent of total	Cumulative percent	Dollars (millions)	Percent of total	Cumulative percent
11. Bilingual education (OMB 13.403)	Elementary and Secondary Education Act, Title VII	34	2.5	92.5	98	2.1	78.9
12. Women's educational equity (OMB 13.565)	Education Amendments of 1974, Special Projects Act, Sec. 408	20	1.5	94.0	7	.2	79.1
13. Career education (OMB 13.554)	Education Amendments of 1974, Special Projects Act, Sec. 406	19	1.4	95.4	10	.2	79.3
14. Ethnic Heritage Studies (OMB 13.549)	Elementary and Secondary Education Act, Title IX	17	1.2	96.6	2	-	79.3
15. Gifted and talented children (OMB 13.562)	Education Amendments of 1974, Special Projects Act, Sec. 404	10	.7	97.3	3	.1	79.4

*Estimated by OE Program Offices
-Less than one-tenth of one percent

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS, AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours			Appropriation		
		Number (000s)	Percent of total	Cumulative percent	Dollars (millions)	Percent of total	Cumulative percent
16. Adult education (OMB 13.400)	Adult Education Act	8	.6	97.9	81	1.7	81.1
17. Follow Through (OMB 13.433)	Community Services Act (PL 93-644) Title V	7	.5	98.4	59	1.3	82.4
18. Indian education (OMB 13.536)	Indian Education Act (PL 92-318) Title IV, Part C (Sec. 314 Adult Education Act)	5	.4	98.8	4	.1	82.5
19. Educational innovation and support (OMB 13.571)	Elementary and Secondary Education Act, Title IV-C	4	.3	99.1	185	4.0	86.5
20. Programs for the handicapped-aid to states (OMB 13.449)	Education of the Handicapped Act, Part B, as amended by PL 94-142	3	.2	99.3	200	4.3	90.8
21. Teacher Corps (OMB 13.489)	Higher Education Act, Title V	3	.2	99.5	38	.8	91.6

*Estimated by OE Program Offices

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS,

AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours			Appropriation		
		Number (000s)	Percent of total	Cumulative percent	Dollars (millions)	Percent of total	Cumulative percent
22. Programs for children in state institutions for the neglected and delinquent (OMB 13.431)	Elementary and Secondary Education Act, Title I, Sec. 123	3	.2	99.7	29	.6	92.2
23. Library and learning resources (OMB 13.570)	Elementary and Secondary Education Act, Title VI-B	2	.1	99.8	147	3.1	95.3
24. Right to Read (OMB 13.533)	Education Amendments of 1974, National Reading Program, Title VII (PL 93-380 as amended by PL 94-194)	2	.1	99.9	26	.6	95.9
25. Indian education (OMB 13.535)	Indian Education Act (PL 92-318) Title IV, Part B	2	.1	100.0	13	.3	96.2
26. Programs for the handicapped in state-supported schools (OMB 13.427)	Elementary and Secondary Education Act, Title I, Sec. 121	1	-	100.0	111	2.4	98.6

*Estimated by OE Program Offices
-Less than one-tenth of one percent

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED FORMS,

AND THE FISCAL YEAR 1977 (REGULAR) APPROPRIATIONS FOR SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours Number (000s)	Percent of total	Cumulative percent	Appropriation Dollars (millions)	Percent of total	Cumulative percent
27. Incentive grants (OMB 13.512)	Elementary and Secondary Education Act, Title I, Part B	1	-	*100.0*	25	.5	*99.1*
28. State administration of ESEA, Title I programs (OMB 13.430)	Elementary and Secondary Education Act, Title I	1	-	*100.0*	21	.5	*99.6*
29. State equalization grants (OMB 13.572)	Education Amendments of 1974, Title VIII, Part D, Sec. 842	0	-	*100.0*	11	.2	*99.8*
30. Packaging and dissemination (OMB 13.553)	Education Amendments of 1974, Sec. 402, Special Projects Act and the General Education Provisions Act, Sec. 422(a)	0	-	*100.0*	10	.2	*100.0*
31. Metric education (OMB 13.561)	Education Amendments of 1974, Special Projects Act, Sec. 403	0	-	*100.0*	2	-	*100.0*
	TOTAL	1,344			4,676		

*Estimated by OE Program Offices
-Less than one-tenth of one percent

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT, AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

Type of Assistance	Authorizing Legislation	Manhours (000s) Application	Program Management	Evaluation	Total
1. Programs for migratory children (OMB 13.429)	Elementary and Secondary Education Act, Title I, Sec. 122	156	99	0	255 1/
2. Programs for disadvantaged children (OMB 13.428)	Elementary and Secondary Education Act, Title I	0	76	164	240 2/
3. Vocational education - basic programs (OMB 13.493; 13.494; 13.495; 13.499; 13.501; 13.558)	Vocational Education Act of 1963, Parts B, F, G, H, J, and Sec. 102(b) and 104	150	28	3	181
4. School maintenance and operation (OMB 13.478)	School Assistance in Federally Affected Areas (PL 81-874)	61	60	0	121
5. Indian Education (OMB 13.534; 13.551)	Indian Education Act (PL 92-318)	78	3	7	88 3/

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*Estimated by OE Program Offices

1/ Figure includes 156,000 manhours to complete the Federal application form, OE-312, which is used by an estimated 1,900 local agencies.

2/ Figure includes 164,000 manhours for a one-time evaluation study required by the Education Amendments of 1974 (PL 93-380); not included are an estimated 4.5 million manhours spent by local agencies using State-administered application forms pursuant to Federal law and regulations. Figure also includes 72,000 manhours for the ESEA, Title I Comparability Reports.

3/ Figure includes an estimated 75,000 manhours to complete the Indian Student Enrollment Certification form OE-506. This form is completed one time only by parents of approximately 300,000 Indian students.

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT, AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours (000s) Application	Program Management	Evaluation	Total
6. Desegregation assistance (OMB 13.525; 13.526; 13.528; 13.529; 13.530; 13.531; 13.532; 13.405)	Emergency School Aid Act, Title VII (PL 92-318) and Civil Rights Act of 1964, Title IV	47	35	-	82
7. Supplementary educational centers and services, guidance counseling, and testing for the handicapped (OMB 13.519)	Elementary and Secondary Education Act, Title IV-C	0	82	-	82
8. Education for the handicapped (OMB 13.444; 13.445; 13.446; 13.450; 13.451; 13.452)	Education of the Handicapped Act, Parts C, D, and F	49	16	-	65
9. Community schools (OMB 13.563)	Education Amendments of 1975, Special Projects Act, Sec. 405	40	14	0	54
10. Bilingual education technical assistance coordination (OMB 13.403)	Elementary and Secondary Education Act, Title VII	34	0	0	34

*Estimated by OE Program Offices
-Less than 500 manhours

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT,

AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours (000s) Application	 Program Management	 Evaluation	 Total
11. Bilingual education (OMB 13.403)	Elementary and Secondary Education Act, Title VII	34	0	0	34
12. Women's educational equity (OMB 13.565)	Education Amendments of 1974, Special Projects Act, Sec. 408	20	0	0	20
13. Career education (OMB 13.554)	Education Amendments of 1974, Special Projects Act, Sec. 406	-	19	0	19
14. Ethnic Heritage Studies (OMB 13.549)	Elementary and Secondary Education Act, Title IX	8	9	0	17
15. Gifted and talented children (OMB 13.562)	Education Amendments of 1974, Special Projects Act, Sec. 404	10	0	0	10

*Estimated by OE Program Offices
-Less than 500 manhours

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT, AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours (000s)			
		Application	Program Management	Evaluation	Total
16. Adult education (OMB 13.400)	Adult Education Act	0	8	0	8
17. Follow Through (OMB 13.433)	Community Services Act (PL 93-644) Title V	6	1	0	7
18. Indian Education (OMB 13.536)	Indian Education Act (PL 92-318) Title IV, Part C (Sec. 314 Adult Education Act)	2	3	0	5
19. Educational innovation and support (OMB 13.571)	Elementary and Secondary Education Act, Title IV-C	4	0	0	4
20. Programs for the handicapped - aid to states (OMB 13.449)	Education of the Handicapped Act, Part B, as amended by PL 94-142	2	1	-	3
21. Teacher Corps (OMB 13.489)	Higher Education Act, Title V	3	0	0	3

*Estimated by OE Program Offices
-Less than 500 manhours

NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT-TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT, AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours (000s) Application	Program Management	Evaluation	Total
22. Programs for children in state institutions for the neglected and delinquent (OMB 13.431)	Elementary and Secondary Education Act, Title I, Sec. 123	0	1	2	3
23. Library and learning resources (OMB 13.570)	Elementary and Secondary Education Act, Title VI-B	0	2	-	2
24. Right to Read (OMB 13.533)	Education Amendments of 1974, National Reading Program, Title VII (PL 93-380 as amended by PL 94-194)	0	2	0	2
25. Indian education (OMB 13.535)	Indian Education Act (PL 92-318) Title IV, Part B	2	0	0	2
26. Programs for the handicapped in state-supported schools (OMB 13.427)	Elementary and Secondary Education Act, Title I, Sec. 121	0	-	-	1

*Estimated by OE Program Offices
-Less than 500 manhours

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NUMBER OF ESTIMATED* MANHOURS OF RESPONDENT TIME FOR COMPLETING FEDERALLY REQUIRED APPLICATION, PROGRAM MANAGEMENT, AND EVALUATION FORMS USED BY THE OFFICE OF EDUCATION FOR COLLECTING DATA RELATING TO SELECTED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

(Continued)

Type of Assistance	Authorizing Legislation	Manhours (000s)			
		Application	Program Management	Evaluation	Total
27. Incentive grants (OMB 13.512)	Elementary and Secondary Education Act, Title I, Part B	-	0	-	1
28. State administration of ESEA, Title I programs (OMB 13.430)	Elementary and Secondary Education Act, Title I	-	-	0	1
29. State equalization grants (OMB 13.572)	Education Amendments of 1974, Title VIII, Part D, Sec. 842	0	0	0	0
30. Packaging and dissemination (OMB 13.553)	Education Amendments of 1974, Sec. 402, Special Projects Act and the General Education Provisions Act, Sec. 422(a)	0	0	0	0
31. Metric education (OMB 13.561)	Education Amendments of 1974, Special Projects Act, Sec. 403	0	0	0	0
	TOTAL**	707	459	178	1,344

*Estimated by OE Program Offices
-Less than 500 manhours
**Totals include those categories with less than 500 manhours

PART 2: PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION

THURSDAY, MAY 26, 1977

House of Representatives,
Subcommittee on Elementary, Secondary,
and Vocational Education,
Committee on Education and Labor,
Washington, D.C.

The subcommittee met, pursuant to recess, at 9:30 a.m. in Room 2175, Rayburn House Office Building, Hon. Carl D. Perkins (chairman of the subcommittee) presiding.

Members present: Representatives Perkins, Weiss, Kildee, and Heftel.

Chairman **Perkins**. The committee will come to order.

A quorum is present for the purpose of taking testimony.

I am delighted to welcome here this morning our colleague, Congressman Levitas, from the great State of Georgia. I am delighted to welcome you here this morning, Mr. Levitas.

Your school superintendent, Jack Nix, perhaps has contributed as much as any other superintendent in the whole country from the standpoint of the welfare of the school children throughout America. I note that you are following right in his footsteps. I understand that he has a representative by the name of Mr. Ellis Bateman here this morning.

If you want to come around, Mr. Bateman, and sit beside Mr. Levitas, we will hear you after hearing the congressman. It is always a pleasure to welcome you here.

Mr. **Levitas**. Thank you, Mr. Chairman.

Chairman **Perkins**. I want to thank you for your great work and contributions that you have made in the whole area of education ever since you came to the Congress. Go ahead in any manner you prefer.

STATEMENT OF HON. ELLIOTT H. LEVITAS, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF GEORGIA, ACCOMPANIED BY ELLIS BATEMAN

Mr. **Levitas**. Thank you, Mr. Chairman, and members of the committee.

I appreciate, first of all, the kind words you have said about me and also am grateful for your generous remarks about Dr. Jack Nix, who is the superintendent of our State school system and a personal friend of mine, a man I have known personally and professionally for many years. I can tell you that I share your esteem. He has done for the school children of our state, and by that model for school children elsewhere, an outstanding job.

It is a pleasure to be appearing before this great committee. When I was in the State Legislature, Mr. Chairman, I had the opportunity serve on the Education Committee of our State Legislature and work closely with the needs of the people in Georgia in this area. In fact, when I first got to the legislature, this might be a matter of interest, I was on the House Education Committee. We had a young state senator from Plains, Georgia, who was on the Senate Education Committee. We worked closely—who will go nameless for the moment—but we worked closely on education matters. My interest has not in any way slackened in this matter. Indeed, it has increased through the years.

I appreciate the opportunity to appear before the Subcommittee on Elementary, Secondary, and Vocational Education to testify on some of the difficulties with paperwork experienced in federally-assisted programs for education.

Mr. Chairman, Members of the Committee:

I certainly appreciate the opportunity to appear before the House Subcommittee on Elementary, Secondary, and Vocational Education to testify on some of the difficulties with paper work experienced in federally assisted programs for education. Before mentioning specific problem areas, I wish to state that the Federal assistance available for education has been a great help to Georgia as a supplement to our state efforts, and has enabled us to do certain things that would not have been otherwise possible with the limited state and local resources available. Educators of the state are appreciative of your efforts to improve the quality of education available in this nation for all citizens, and have strived to utilize the Federal aid available in an efficient and effective manner. Unfortunately, due to many of the specific detailed mandates in new Federal statutes and the stringent interpretation of these statutes by the Executive Branch's rules and regulations, educators have in fact at times been hampered in their efforts to efficiently and effectively use Federal aid for the benefit of school age youth.

In fiscal year 1967, the State Board of Education in Georgia received $80.0 million in Federal grants for the public schools of Georgia. During this same year, the Georgia General Assembly appropriated $291.3 million for the education of children of this state. By fiscal year 1977, Federal grants received by the State Board of Education had more than doubled to $174.4 million, accompanying an almost two and one half times increase in State appropriations for education to $691.8 million. These figures do not include the local school systems' financial contributions, nor do they include direct Federal grants, such as impact aid, made to the local school systems of the state.

Over this ten-year period, the reporting and record keeping requirements imposed at the Federal level on state and local officials have far outstripped the two-fold increase in funds. Much of this increase is due to the ever-increasing detail and specificity of congressional Acts, while much can be attributed to an overzealous interpretation of congressional mandates by the Executive Branch through its rules and regulations. Funds originally intended to help the children of our nation have been slowly diverted to fulfill reporting requirements, most of which have little or no bearing on the child in the classroom. With the committee's permission, I have included as Appendix A, a listing of the forms required by the State Department of Education, or directly of Georgia school systems, by the U.S. Office of Education for Federal educational activities in Georgia. This is Appendix A. However, I should point out that this listing represents a 24-pound, 11-inch stack of forms and instructions for programs under the Office of Education. It does not include state-imposed reporting on local systems which directly or indirectly is the result of mandates by Federal agencies. Apparent from the length of this list alone, much of our time and money is expended in reporting information to the Federal level and not directly affecting quality educational changes in Georgia.

Dr. Jack P. Nix, the Georgia State Superintendent of Schools, estimates that over 20,000 man hours are consumed yearly reporting to the U.S. Office of Education by his staff alone. If each local school system in the state spent only half the time in Federal reporting as does the State Department of Education, over 930 man years requiring an expenditure in excess of $9,000,000 is required in Georgia to satisfy Federal reporting dictates. This estimated cost represents over 5.2% of the total Federal commitment for education in Georgia for fiscal year 1977. Please note, Mr. Chairman, that this represents only the information collected by the U.S. Office of Education. If forms required by the Department of Labor's CETA activities, the Department of Agriculture's Child Nutrition Activities, the Office of Civil Rights, and the other Federal agencies that impact education were included, this mass of documents would be increased substantially.

Data requirements imposed with most Federal grants have reached the extreme point where many applicants will not apply for small levels of funding. The Georgia Department of Education uses a rule of thumb of $5,000 on grants from Federal agencies. If the possible award is less than $5,000, the State estimates it would lose money in the paperwork process associated with the application accounting and evaluation procedures necessary for accepting the grant. The State of Florida in their A-95 clearing office likewise normally will not submit grant project applications under $5,000, unless it is a dire emergency associated with the grant award. Projects only slightly exceeding that amount are seriously questioned to determine if the cost of the paperwork does not exceed the anticipated grant level.

I am personally aware of some of the difficulties encountered with paperwork and specifically with the proposed rules and regulations governing the duties of the State Advisory Council for Title IV, Consolidation of Programs, under public law 93-380. As presented by the U.S. Office of Education, the proposed regulations implied that the State Advisory Council mandated by PL 93-380, the Education Amendments of 1974, would approve each local school system's application for assistance. This, I felt, was not the intention of Congress, and represented a serious erosion of the duties and responsibilities of the Georgia State Board of Education.

On May 5, 1975, at the request of Dr. Nix, I wrote then USOE Commissioner Bell expressing concern over the implied role of the Advisory Committee as well as other concerns with the proposed regulations. I am happy to report that in this instance the public comment period allowed on proposed rules and regulations was effective, and that the final regulations as published on November 18, 1975, in the Federal Register clarified the role of the State Advisory Council in offering advice to the State Board of Education on the types of local applications the Council deemed approvable.

A further example of problems experienced by state and local educators is the proliferation of a 9-page enactment of Congress, Title IV of PL 93-380, designed to consolidate and simplify certain categorical education programs, into 10 pages of executive rules and regulations, plus a proposed guideline book over 200 pages long. This information was distributed by USOE in 1975 as "training material." In addition to these, a 19-page document was distributed on August 23, 1975, purported to be the minimum data requirements needed by USOE for Title IV. Commissioner Bell, in response to concerns of educators over the mass of data to be collected for a program designed to simplify State-Federal relations, pointed out USOE could have required over 4,000 items of information for this title alone. The Commissioner indicated further that the 19-page document of August 23 represented the minimum requirements of 402 pieces of datum and that further reductions by USOE had brought the proposed list down to only 239 items. With your permission, I have included as Appendix B this list and the resultant correspondence.

This is typical of the almost daily struggle State and local education officials undergo in trying to cope with the Federal bureaucracy. Almost constant legal counsel is needed to interpret proposed regulations and their relation to existing Federal and state statutes. The vast expansion of the detail and specificity in statutes, requirements of Federal rules and regulations, and the explosion of requests for information at the Federal level has caused an almost complete loss of sight of the end product of education, which is a well-adjusted and productive citizenry. Educators have become rule appliers and form completors.

In addition to problems with regulations and data collection, the consolidation provided in Title IV has caused state and local school officials other administrative difficulties. Although consolidated, separate accounting for administrative funds for Parts B and C is required; this has increased the record keeping requirements substantially at the state level. The concept of a single application as present in PL 93-380, Title IV, is an excellent idea. Unfortunately, in this case, it has tended to increase the administrative problems and delay funding for local school systems. With Part B being basically a formula entitlement for local school systems and Part C a project approval program, the single application has hampered, rather than enhanced,the efforts of the local school system to receive funds. If separate applications were permissible at the option of the local school system, Part B funding could be released prior to the development, submission, and review of the Part C projects of a local school system.

I certainly hope this committee will closely examine this Title and the Special Projects Act in PL 93-380 to effect a true consolidation of the multitude of categorical grant programs for local school systems that will simplify applications for funding with a minimum of paperwork and regulation. The seven areas identified in the Special Projects Act—metric education, education for the gifted, community schools programs, career education, consumer education, women's equity in education, and arts in education—could be folded into the innovation and support area, Part C of Title IV, allowing local systems to apply for projects in these areas using the same forms and regulations applicable to other projects under Part C. Not only would seven sets of regulations be eliminated, but quite likely seven separate groups of bureaucrats in Washington could be redirected to provide additional services to the States and local school systems of our Nation.

Although not directly a concern of this subcommittee, PL 94-142, the Education for All Handicapped Children Act, again involved the Federal level excessively in the details of administering a state and local program. In reviewing the proposed regulations and the specificity of the statute, I feel that this act may prove to be one of the most burdensome federally assisted programs in existence. The proposed details of the individual education plan for each child, the records to be maintained by local school systems to assure due process, the possible considerations of comparability, the excess cost concept, and the child count conducted twice a year will place almost insurmountable paper requirements on teachers and school officials of this nation. Realizing the need to provide adequate educational opportunities to all our handicapped children, I strongly supported the passage of S. 6. However, now looking at the paperwork that most certainly will be required to obtain the $7.3 million in Federal aid to supplement our $68.8 million state aid program for the handicapped in our state, I wonder if support of this particular measure, in the end on my part was justified. Dr. Nix has informed me that the State Board of Education in Georgia will submit a plan to the Office of Education for education of the handicapped that is consistent with the State Constitution and State statutes. This is the plan, just this document right here is the plan we are talking about [indicating], recently approved by the State Board of Education, that will be submitted to the U.S. Office of Education. If this plan is unacceptable, Georgia may very well not apply for the small portion of funding available from the Federal level, but will rely on State sources to provide educational opportunities for the handicapped with a minimum of paperwork and regulatory activity. The losers in this case will not be the State of Georgia but will be the handicapped persons who could have been educated with these funds.

In viewing existing Federal aid programs for the handicapped, it seems that we have, through special set-asides in many program areas, fragmented the support for comprehensive efforts to offer educational opportunity to all children. ESEA, Title I, contains special funding for handicapped children in state institutions, ESEA Title IV, Part C requires a 15% expenditure of funds for children with specific learning disabilities and other handicapped children, the Vocational Education Act requires a 10% expenditure for the handicapped in addition to a 20% set-aside for the disadvantaged, and PL 94-142 purports to offer funding for the education of all handicapped children. It seems to me that educators could design more effective programs with less paperwork and regulatory restrictions if all funding for handicapped children could be placed under one statute and one set of administrative requirements. I certainly hope this committee will consider this possible simplification of programs of aid to handicapped children during your deliberations so the money can be channeled to where it is needed and not to hire people to fill out more forms.

One of the most serious abuses of the executive rulemaking authority occurred in August 1975. A memorandum was distributed from the Department of Health, Education, and Welfare, Office of Civil Rights, pertaining to record keeping requirements on student discipline problems. This memorandum, received by state school officials the last week in August, imposed changes for school year 1975-76, which had already begun in many school systems and was scheduled to begin the first of September in others. The detail and volume of information required of local school systems were quite unrealistic, and a national protest arose over the timing and content of this document. I am certain that many of you are familiar with this situation through the reaction to these unrealistic demands by state and local school officials.

In the original memorandum the Office of Civil Rights used regulation 45CFR80-6 (B) as justification for its mandate of the record keeping procedure. This regulation reads:

"Each recipient shall keep such records and submit to the responsible department official or his designee timely, complete and accurate compliance reports at such times, and in such form and containing such information, as the responsible department official or his designee may determine to be necessary to enable him to ascertain whether the recipient has complied or is complying with this part . . .".

In my opinion, a ". . .responsible department official . . ." could, under this regulation, even require the teachers of this nation to delineate the rest room requests of students by racial and ethnic groupings and give reasons for approving or disapproving these requests. The power to reach into a classroom—or indeed the restroom—and cause disruption of schoolroom activities is a power that should be reserved only to the elected officials of our government who are directly responsible to the citizens.

The August 1975 memorandum has been revised and made applicable to only the 3,000 school districts with the most minority students and the effective date of implementation was postponed until the 1976-77 school year. These 3,000 school districts have been burdened with an excessive record keeping activity which in my opinion will have little effect on improving the instructional programs of our Nation's schools, or even eliminating discrimination. I have correspondence from several school systems in Georgia that is indicative of the paperwork problems caused by OCR 101 and 102. The Dalton City schools, and this is a very small school system in North Georgia, spent over 40 man-hours completing these forms for its 4,000 students. The Baldwin County Board of Education, a medimum sized system with only 5,500 students, estimates that it spent over $26,000 to comply with this request, and the Fulton County Schools were presented with a 56-pound, 21-inch high stack of forms representing over 5,016 pages of materials for its 79 schools.

Mr. Chairman, Members of the committee, I believe that this is an example of one of the great concerns of the citizens of this Nation. When a Federal agency can issue requirements that have such a broad impact with little opportunity for those affected by the requirements to be heard or to appeal, something is drastically wrong. I am most pleased that you are listening to the outcry of the average man against the bungling bureaucracy we have created in many areas of our government.

With your permission, Mr. Chairman, I would like to submit as Appendix C the August 1975 memorandum relating to recordkeeping on student discipline procedures and its subsequent revision, along with correspondence from several of the local systems of Georgia relative to Forms OCR 101—102.

I would further like to direct your attention to this mass of computer forms on the table before me and in front of you. The State of Georgia has already expended over $9,000 for computer processing alone to assimilate the statistical data required by PL 94-482, the Education Amendments of 1976, for its state plan for vocational education, which I have already referred to. This mass of detailed information must be attached to a narrative description of the state plan, estimated to exceed 400 pages and forwarded in five copies to the USOE regional office in Atlanta. Georgia estimates that the total state plan, including these detailed computations, will exceed 2,100 pages in length. The printing estimate, just the printing estimate alone, for the required distribution of this plan within the state exceeds $35,000. I understand that Georgia is not the only state experiencing considerable difficulties with details of the state plan mandated under PL 94-482. The Minnesota plan, I am told, and Minnesota is a state very similar to Georgia in the operation of vocational programs, reportedly exceeds 5 feet in height, considering all five copies, and the South Carolina plan, already over 461 pages in length, is not complete nor acceptable by USOE.

The planning concept and process established for vocational education in PL 94-482 is exceptional. The paperwork mandated to be forwarded to the Federal level is outrageous. Surely, the Congress and the Administration can find other solutions to problems perceived in legislation without requiring the reporting of masses of detailed statistics to the Federal level.

In conclusion, Mr. Chairman, I think this is the positive note of recommendation, I would like to bring your attention to a pilot program begun in Georgia with five of our local school systems last year. Basically, this pilot, called Local School Systems Comprehensive Planning, requires that the local school superintendent and his staff develop an educational plan of operation suited to local needs. This lcoal plan describes what is to be accomplished, how it is to be accomplished, what resources will be required, and how the accomplishments will be measured and evaluated. Under this comprehensive plan the local superintendent and the local Board of Education agree to meet the intent of all Federal and state statutes in this operation and to chair a planning team of local, state, and Federal personnel.

In turn, the State Department of Education agrees to design ways to fund and implement the system's plan and to advise the local superintendent in the implementation of the plan and on any legal or regulatory matters. U.S. Commissioner of Education Bell, rather the former commissioner, likewise had agreed to provide entitlement Federal funds based on this comprehensive plan and to remove, insofar as the statutes will permit, regulatory restrictions on the use of these entitlement funds. I hope Commissioner Boyer will continue to honor this agreement. Both USOE staff and state staff will monitor the implementation of the plan and audit the outcomes of implementation to determine effectiveness.

A system similar to this where states would, through an annual plan, define their educational needs and steps necessary to fulfill these needs could possibly result in the reduction of paperwork and regulatory requirements now placed on local education agencies. The Office of Education could, much as done in the five pilot systems in Georgia, assist each state in developing its plan to fulfill statutory requirements, and then could find funding sources from the Federal level to help implement these individual state plans. Through monitoring and audit, progress in implementing the states' comprehensive plans could be followed and reported to the Congress, the Executive Branch, and the public.

In addition to the annual plan concept, the U.S. Office of Education could, under existing statutes, simplify the paperwork load on state and local education agencies by simply requiring only one set of assurances from each project applicant. Now each project application must be accompanied by a set of assurances that are basically the same for each program. If each state and local school system could file these assurances only once with USOE, the amount of paper generated by each project application could be greatly reduced. The Office of Education could verify for each project application that the set of assurances was on file for the applicant, thereby reducing the number of forms containing redundant information required for each proposal that comes forth.

Since our economic situation remains clouded, we must strive to make more efficient use of every available dollar for education, and forms and information which have little or no bearing on changes in the classroom must be curtailed.

The madness of mandating specific detailed requirements for each federally assisted educational activity must stop. Congress should establish national priorities, provide funds for states to achieve these priorities and provide a mechanism to evaluate the effectiveness of state efforts toward these goals, rather than mandate on each state how it should structure its educational enterprise, what data it must collect and report, or how local educational activities must be performed. Let states receive broad national direction from the Congress in carrying out their specific State responsibilities, and provide a monitoring mechanism for the Congress and the public to gauge the progress of States to this end.

Thank you, Mr. Chairman, for your interest and concern for the children of our nation, and that of this committee.

I extend to you an invitation to visit the educational programs and schools in Georgia in order that our efforts to build more productive and successful citizens may be more closely coordinated with those at the state and local level, resulting in a stronger America.

Chairman PERKINS. Do you have time for us to hear Mr. Bateman right now?

Mr. LEVITAS. Yes. He would like to supplement.

Chairman PERKINS. Yes. I see that this is the call of the House. They are going into session.

Mr. Bateman, without objection your prepared statement will be presented into the record.

Mr. BATEMAN. I do not have a prepared statement or comment other than, on behalf of Dr. Nix, to thank you and this subcommittee for your interest in the children of our Nation and the wonderful job you have done in the past in terms of improving the educational programs of the nation.

[Appendixes A, B, and C follow:]

APPENDIX A

Partial List of Data Collection Forms which Impact on Georgia State Department and Georgia Schools

State Education Agency List as of February 1976
Local Schools List as of May 1976

[illegible]

I. APPLICATIONS

		Estimate of Department Man-Hours by Report by Year
	Vocational Education State Plan	4,951.0
OE 1176	Vocational Education Applications (6)	4.320.0
	Title IV State Plan	912.0
OE 123-1	Non Commercial Education Broadcasting Application	320.0
OE 362	Title I - Migrant Application	200.0
	Adult Education, Title III, P. L. 91-230	160.0
USDA	School Lunch Application	160.0
OE 209	Title III Application	160.0
OE 4419	Title V - A Application (503 & 505)	160.0
OE 296	Title IV Civil Rights Act (Equal Education Opportunity)	160.0
OE 9037	Handicapped - Application	160.0
OE 295	Right to Read Application	120.0
OE 4533	Title V - C (Local Systems Planning and Evaluation) Application	80.0
	Alliance for the Arts Education	56.0
HEW	College Work-Study Program	48.0
HEW	NDEA Application	40.0
OE 4553	Follow Through Program Application	40.0
OE 4533-1	Title V — C Intent to Apply	40.0
OE 335	EPDA Application	36.0
HEW	Veterans Cost of Instruction Programs	24.0
OE 347	School Health & Nutrition Program Application	24.0
OE 4473	Follow Through - Headstart Title III	16.0
GSA DC 75-2637	Outline for Program Performance Reports (EPDA)	16.0

		Estimate of Department Man-hours by Report by Year
OE 323	Noncommercial Education Broadcasting - Pre-application	15.0
OE 3118	HEA - College Library Resources Program Application	10.0
	Title I General Application - State Plan (Update)	8.0
OE 417	General Application to Identify State Areas of Participation in ESEA	1.0
OE 4453	Summary for Grant - State Institutions for Neglected and Delinquent Children	1.0
	Title II State Plan	1.0
	NDEA Title III State Plan	1.0

FORMS THAT DO NOT IMPACT ON GEORGIA (INCOMPLETE LIST)

OE 267	Indian Education Application
OE 298	Teacher Corp Application
OE 328	ESAA - ETV Program Application
OE 4384	Distribution of Funds to Local & State Agencies for Programs Under Title I, ESEA
OE 4510	Application - Special Incentive Grants - ESEA Title I, Part B

HIGHER EDUCATION FORMS (INCOMPLETE LIST)

OE 336	Library Resources and Demonstration - HEA - Application
OE 3095	HEA - Education in Librarianship

II. [illegible] (FINANCIAL, STATISTICAL AND PERFORMANCE)

		Estimate of Department Man-hours by Report by Year
OE 1297	Title II Financial Status Report	32.0
OE 4376	Annual Survey of Neglected and Delinquent Children in SEA Operated Institutions or in Adult Correctional Institutions - Title I	32.0
OE 4376-1	Annual Survey of Neglected and Delinquent Children in Local Institutions or in Correctional Institutions - ESEA Title I	31.0
OE 360	Vocational Education & EPDA, Financial & Performance Report	24.0
OE 1298	NDEA, Title III - A, Financial Status Report	24.0
	Veterans Cost of Instruction - Quarterly Enrollment Report	24.0
AD 626	Letter of Credit (USDA)	16.0
OE 376	Follow Through Technical Assistance Report	16.0
OE 3115	HEA - Annual Program and Fiscal Report - College Library Resources	16.0
	BEOG - Quarterly Report of Expenses	16.0
OMB 40-R3688	Quarterly Developmental Projects Payments	10.0
OE 365	Adult Education - Financial Status Report	8.0
OE 365-1,2	Adult Education Annual Performance Report	8.0
OE 9039-1	Handicapped - Financial Status Report - Part B, EHA PL 89-313, ESEA	8.0
USDA	Agreement Form for USDA	8.0
OE 1298-2	NDEA, Title III - A - Financial Status Report (Carryover)	8.0
	Veterans Cost of Instruction - Fiscal Funding Request	8.0
	BEOG - End of Year Fiscal Report	8.0
	BEOG - Program Funding Request	4.0
	College Work-Study - Program Funding Request	4.0
	College Library Resources Program - Program Funding Request	4.0
OE 4535	Follow Through Comprehensive Health Services Questionnaire	2.0
	Veterans Cost of Instruction Budget	2.0

II. [illegible] ([illegible] FINANCIAL AND PERFORMANCE)

		Estimate of Department Man-Hours by Report By Year
FNS 10	Lunch, Breakfast and Nonfood Assistance (USDA)	2,112.0
FNS 28	Special Milk Report (USDA)	2,112.0
OE 146-1	Vocational Education Report on Activities	360.0
OE 185-2	Title III State Agency Annual Report	320.0
OE 4439-1	Title V-A 503 & 505 Financial Statement and Performance Report	320.0
FNS 360	Program Outlay ([illegible] Outlay) (USDA)	200.0
OE 145	Vocational Education Financial Status Report	160.0
OE 161	Right to Read Financial and Performance Report	120.0
OE 9016	Handicapped - Description of Project Activities	120.0
OE 9039-2	Handicapped - Performance Report Part B, EHA, PL 89-313, ESEA	94.0
OE 9037-1	Handicapped - Financial & Performance Report	88.0
FNS 13	Income and Expense Report (USDA)	88.0
OE 4533-2	Title V-A Financial Status Report & Performance Report	80.0
OE 380-1	Title I Financial and Performance Report	65.0
	College Work-Study - Fiscal Report of Expenditures	60.0
AD 627	Letter of Credit (USDA)	48.0
OE 361	Title III Financial and Performance Report	48.0
OE 380-1	Title I Financial & Performance Report	40.0
OE 1297-1	Title II Performance Report	40.0
OE 1298-1	NDEA, Title III-A, Performance Report	40.0
FNS 47	Annual Report of Food Service (USDA)	40.0
FNS 34	City School Feeding (USDA)	40.0
OE 362-1	Title I - Migrant - Financial and Performance Report	32.0
OE 385-1	Title III Financial Status Report - State Plan	32.0

HIGHER EDUCATION [illegible] Title II-B [illegible]

OE 3096 HEA - Enrollment Data Report - Education in Librarianship

OE 3097 HEA - Final Fiscal Report - Education in Librarianship

OE 3141 HEA - Annual Narrative Report for Education in Librarianship

OE 3164 HEA - Fiscal Report, Training in Librarianship

OE 3600-1 HEA - Project Completion Report

[illegible]

		Estimate of Department Man-Years by Report by Year
OE 346-3	Enrollments in Vocational Education Programs	360.0
OE 346-4	Placement of Program Completions in Vocational Education Programs	80.0
OE 2350-12	ELSEGIS VII - Part A-2b Elementary & Secondary Statistics	60.0
OE 2350-11	ELSEGIS VII - Part A-2a Elementary & Secondary Statistics	45.0
OE 365-2	Adult Education State Grant Program - Supplementary Performance Report	40.0
OE 2350-7	ELSEGIS VII - Part A-4 - State Fall Report on School Housing	40.0
OE 2350-9	ELSEGIS V - Part A-3 - Fall Estimate of Expenditures and Salary Data	35.0
OE 346-2	Number of Teachers, Status of Teacher Training and Local Administrative Staff in Vocational Education	32.0
OE 395	Notificaton of Appointment of Adult Education State Advisory Council	32.0
OE 2350-5	(ELSEGIS VIII) Part A - 1 - State Fall Report on Staff and Pupils	24.0
OE 2350-6	ELSEGIS VI - Part A-2 Financial Report	20.0
OE 4218	Education Broadcasting Facilities	19.0
OE 4517	Title I Investigation Report on Administration of Title I Program Activities	16.0
	Semiannual Report - State Administered Research and Development Activities	16.0
OE 235-1	ESAA - Transmittal Form for SEA Comment	8.0
OE 2349-1	Library General Information Survey	8.0
OE 4524	Title I Comparability Requirements Report	3.0

IV. [illegible]

		Estimate of Department Man-Hours by Report by Year
OPRE	Field Test of Title I Evaluation Models	160.0
OE 4552	Sharing Educational Success - Title III (Validation)	124.0
OE 398-2	Questionnaire for Special Education Department	80.0
OE 424	Study of Impact of Late Funding of Elementary and Secondary Federal Education Programs on LEA	80.0
NIE	Regulations Survey	24.0
OE 398-3	NCALRC 1974-75 Survey of Services - Region 9	16.0
OE 2383	Survey of SEA on Persons Speaking Limited English From NonEnglish Dominant Background	12.0
OE 434	Evaluation of Title III National Diffusion/Adoption Network Facilitator Questionnaire	8.0
OE 9054-1	Survey of Education and Social Programs Available to Institutionalized Emotionally Disturbed Children (Admn)	8.0
OE 434-2	Evaluation of Title III National Diffusion/Adoption Network DD/DRP Questionnaire	4.0
OE 9052	Annual Survey of ADA of Handicapped Children in SEA Schools	4.0
OE 9054-2	Survey of Education and Social Programs Available to Institutionalized Emotionally Disturbed Children (Prog Dir)	2.0
OE 398-1	Questionnaire for Director of Special Education	1.0
OE 434-1	Evaluation of Title III National Diffusion/Adoption Network Adopter Questionnaire	1.0
OE 9043	Clarification Survey for Reading/Language Priorities (Deaf)	1.0
OE 9054-3	Survey of Education and Social Programs Available to Institutionalized Emotionally Disturbed Children (Worker)	1.0
OE 9054-4	Survey of Education and Social Programs Available to Institutionalized Emotionally Disturbed Children (Outside)	1.0
OE 10,000-1	Questionnaire on Education Statistics: Access & Use (NCES)	1.0
OE 399-2	NW Learning Resource Center - Workshop Evaluation Form	.25
OE 9044	Requestors Technical Assistance Evaluation Form - NW Learning Resources System	.25
OPBE	ESEA Title I Study of Program for Neglected and Delinquent Children in State Institutions	.....

Federal Reporting Requirements that Impact on Georgia School Districts

FORM NUMBER	FORM NAME
116-1	Application for Federal Assistance (Nonconstruction Programs) for ESAA Title VII, P.L. 92-318, As Amended P.L. 93-380: Instructions and Supplemental Questionnaire
116-2	Financial Status Report and Performance Report, EEOP
116-2-1	District-Wide Advisory Committee Final Report
116-2-2	Student Advisory Committee Final Report
190-22THRU29	Longitudinal Evaluation of ESAA Pilot and Basic Programs - Observation, Interview and Questionnaires
208	Application for Federal Assistance (Nonconstruction) Under ESEA Title III, Section 306 - Instructions and Supplementary Questionnaire
226-1	Supplementary Instructions and Supplementary Questionnaire for OMB No. 30-R0185
226-263	Financial Status and Performance Report - National Drug Education
257	Quarterly Program Progress Report
268	American Indians Enrolled in Public Schools
272	Applications for Federal Assistance - Instructions for Indian Education Program
295	Application for Federal Assistance - (Nonconstruction Programs) Instructions for the Right to Read Program
296	Application for Federal Assistance (Nonconstruction) for Title IV, Civil Rights Act - Desegregation of Public Education - Instructions and Supplementary Questionnaire
298	Application for Federal Assistance (Nonconstruction) Teacher Corps
305-4THRU10	Longitudinal Evaluation of the ESAA Pilot and Basic Programs: Student/Teacher Roster and Student Attendance and Exposure Log
323	Pre-Application for Federal Assistance - (Construction Programs) Non-Commercial Educational Broadcasting Facilities Programs
323-1	Application for Federal Assistance - (Construction Programs) Non-Commercial Educational Broadcasting Facilities Programs

FORM NUMBER	FORM NAME
326	Environmental Education Program/Instructions for Application for Federal Assistance (Nonconstruction Programs)
326-1	Application for Federal Assistance (Short Form)/Instruction for Environmental Education Minigrant
335	Education Professions Development Program: Application for Federal Assistance (Nonconstruction Program)
335-1	A-102 Program Performance Report for the Career Opportunities Program
343	Application for Federal Assistance (Nonconstruction) Instructions for Education Development Centers
347	Health and Nutrition Programs, Instructions for Application for Federal Assistance (Nonconstruction Programs)
347-1	Financial Status Report and Performance Report - Health and Nutrition Programs
349	Instructions for A-102 Application: Ethnic Heritage Program
355	Pre-Application for Financial Assistance for Public School Construction
355-1	Application for Federal Assistance (Construction) P.L. 81-815 (SAFA)
356	Application for a Grant Under the Mutual Exchange Program
356-1	Confidential Reference for Applicant
356-2	Administrative Approval for Applicant
356-4	Personal Data on Applicants for Grants
360	Financial Status and Performance Reports for Discretionary Grants: Vocational and Education Professions Development Program
361	Instructions for Right to Read A-102 Financial and Performance Report
362	Application for Federal Assistance (Nonconstruction) for Program Grant Educational Programs for Migratory Children, ESEA
364-2THRU5	Longitudinal Evaluation of the ESAA Pilot and Basic Programs: School Climate Instrument for Elementary and Secondary Students

FORM NUMBER	FORM NAME
375	Survey of Foreign Language Enrollments in Public Secondary Schools
376	Financial Status and Performance Reports - Follow Through Programs
381	Financial Status and Performance Reports for Discretionary Grants Under Section 306, Title III, ESEA
387	Financial Status and Performance Reports for Environmental Education Projects
392-1THRU5	Evaluation of the Field Test of Project Information Packages: Instructional and Administrative Staff Questionnaire
394-1THRU5	An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention: School Coordinators, Team Member, Team Group, Administration, Student
396-1THRU3	Conditions and Practices of Effective School Desegregation: Questionnaires
396-4	Conditions and Practices of Effective School Desegregation: In-Depth Guide
398-3	NEALRC Survey of Services
399-1	Learning Resource Center Service Data: Northwest Area Learning Resource Center
399-2	Northwest Learning Resource Center Workshop Evaluation Form
399-3	Northwest Area Learning Resource Center: Client Perception of LRC Services
400	Area Resource Learning Centers - Survey of Special Education Materials/Information Services within SMSA
406	The Public View of the Reading Crisis in America
408, 408-1	Interview Report Format - Placement, Follow-Up, Vocational Education - Handicapped
410	Placement Services Training Curriculum Development Project Evaluation Plan and Forms: Information Inventory (Form A & B)
419	Planning and Teaching Procedures
420	Adequacy and Usefulness of the Career Awareness and/or Career Exploration in Agribusiness Curriculum Guides

FORM NUMBER	FORM NAME
421	Adequacy and Usefulness of the Career (Vocational) Preparation in Agribusiness Curriculum Guides
430-1	Student Questionnaire (Bilingual Education)
433	Survey of Career Education in Public Schools of the U. S.
440	An Inventory of Bilingual Vocational Training Programs
448, 448-1 & 2	An Assessment of the Vocational Education Programs for Disadvantaged Students and Special Target Groups
454	A Description of the Nature and Variety of Compensatory Education Programs in the Elementary Grades – Principal Questionnaire
455	Evaluation of Right to Read State Reading Programs
1156-2	School's Application for Federal Loan Insurance Comprehensive Certificate
1186	Application for Admission to an Institute, Short Term Training Program or Special Project V-E, P.L. 90-35 (EPDA)
1196	Report on Current Upward Bound Students
1197	Report on Former Upward Bound Students
1214	Upward Bound High School Senior College Applications and Test Scores
1225	Report on College Retention of Former Upward Bound Students
1227	Upward Bound Quarterly Financial Report
1229	Special Services for Disadvantaged Students in Institutions of Higher Education (Student Information Report)
1231	Educational Talent Search Program Project - Statistical Report
2349-2	Library General Information Survey – LIBGIS II: Public School Libraries/Media Centers
2371	National Assessment of Education Progress
2375,2375-1THRU3	Survey of Athletic Injuries and Deaths
2378	NCES User Needs Evaluation Questionnaire and Mailing List
2379	Fast Response Survey System

FORM NUMBER	FORM NAME
3180	Study of Teacher Turnover
3176	Instructions for Vocational Education Programs
4019	Application for School Assistance in Federally Affected Areas (Title I of P.L. 81-874)
4019-2	Request for Assistance Under Section 3(E)
4019-3	Supplemental Application for School Assistance in Federally Affected Areas (Title I of P.L. 81-874)
4037	Report for Determining Final Payment Pursuant to Title I of Public Law 81-874
4038	Report of Contract Awarded
4218	Request for Final Payment of Federal Matching Grant for Construction of Noncommercial, Educational Broadcasting Facilities
4376-1	Annual Survey of Children in Local Institutions for Neglected or Delinquent Children in Correctional Institutions
4473	Application for Federal Assistance Follow Through
4485	Classroom Roster and Related Information
4485-1	Follow Through Parent Interview Form
4524	Report on ESEA title I Comparability Requirements
4524A, 4524B	ESEA Title I Comparability Report - General Information and School Data
4532	Follow Through Teacher Questionnaires
4532-1	Follow Through National Evaluation Teaching Staff Questionnaire
4532-2	Follow Through Teacher Aide Questionnaire
4533	Application for Federal Assistance (Nonconstruction) Instructions for Comprehensive Planning & Evaluation, Title V, Part C, ESEA
4533-1	Statement of Intent to Participate
4533-2	Financial Status Report and Performance Report, ESEA Title V, Part C
4535	Follow Through Comprehensive Health Services Planning Questionnaires

FORM NUMBER	FORM NAME
4536	Follow Through Comprehensive Services End-of-Year Report
4552	Sharing Educational Success: A Handbook for Validation of Educational Practices (Title III, ESEA)
4561	Bilingual Education Program, Instructions for Application for Federal Assistance
4561-1	Financial Status and Performance Report - Bilingual Education
7603	Annual Exchange Teacher's Report on Teaching Experience in the U.S.
9037	Application for Federal Assistance, Education for the Handicapped: Instructions and Supplementary Questionnaire
9037-1	Financial Status Report and Performance Report - Bureau of Education for the Handicapped
9037-2	Financial Status Report and Performance Report - Handicapped Children's Early Education Program
9044	Requester's Technical Assistance Evaluation Form - Northwest Learning Resource System
EEOC168	Elementary-Secondary Staff Information (EEO-5) Public School Systems-Districts and Schools)
F-33	Survey of Local School District Finances: School Year ____
HEW601T(405)	Financial Status Report
HEW601T(525)	Financial Status Report
NYA002	Consolidated Accounts
NYA005	Cognitive and Emotional Growth of Children with Learning Disabilities
NYA006	Final Report for Title IV of the Civil Rights Act of 1964
NYA016	Statistical Survey of Secondary School Students - Pretest
NYA025	National Register for Deaf-Blind Persons
NYA026	Adult Education Participation Form
NYA029	Survey of Recent College Graduates
NYA057	Evaluation of Information Services

FORM NUMBER	FORM NAME
NYA071	Effectiveness of Adult Education Special Projects Program
NYA093	Area Learning Resource Center Profile Information: Target Coverage
NYA094	Area Learning Resource Center Profile Information: Source of Services
NYA095	Area Learning Resource Center Profile Information: Inventory/Utilization
NYA096	Area Learning Resource Center Profile Information: ALRC Transactions
NYA097	Area Learning Resource Center Profile Information: Training Activities Quarterly Report
NYA100	Pretest, Statistical Survey of LEA Programs
NYA111	Fast Response System (Post Card) Request
NYA119	Pilot Survey of the Preparation of Education Personnel
NYA124	Follow-Up Evaluation of FY '75 School Team Approach to Drug Education
NYA141	LEA Interview on State and Local Programs in Bilingual Education
NYA142	LEA Follow-Up Questionnaire
NYA143	Administration Questionnaire
NYA145	Follow Through Classroom Observation Instrument
NYA146	Scales to Assess Progress in the Affective Domain for Sampled Grades K-4 Children Yet to be Selected
NYA147	An Instrument for Collecting Cost and Benefit Information for Follow Through Program
NYA148	Standardized Basic Achievement Tests Will Be Selected for Testing A Sample of Grades K-4 Children
NYA153	A Study of the Impact of Student Financial Aid Programs
NYA155	An Assessment of Institutional Procedures of Federal Eligibility and Consumer Protection
NYA157	Employer Benefits from Cooperative Education Program - Employee Benefits from Work

FORM NUMBER	FORM NAME
NYA163	Education of the Handicapped Act Form
NYA169	Survey of Bilingual Vocational Education
NYA172	Common Core of Data - Elementary/Secondary Field Test
NYA173	Survey of Special Preschool Programs Report
NYA174	Survey of Special Preschool Programs Report
NYA179	Evaluation of the Diffusion/Adoption Network: Diffusion/Adoption Network Participation Questionnaire
NYA204	Boehm Test of Basic Concepts

APPENDIX B

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

OCT 08 1975

Honorable Jack P. Nix
Superintendent of Schools
State Department of Education
Atlanta, Georgia 30334

Dear Jack:

Thank you for your letter of September 25. I share your concern about the burden of data collection requirements levied by the Congress and the U.S. Office of Education on States and localities. Accordingly, with the ESEA Title IV program, we have worked to identify the most efficient way to get the most valuable information levying the least reporting burden.

In fact, we calculated that under current categorical programs which were consolidated (excluding in this count Health and Nutrition and Dropout Prevention) we collected 392 pieces of financial/statistical data. Our analysis of the universe of data that could be collected for Title IV indicated 4,000 data bits. Originally (the document you reviewed) we called for 402 pieces of data.

Since that time, we have worked with the CEIS group, and the current proposed data lists number 239. On October 21-23, we will be attending the Semi-Annual CEIS meeting to garner final recommendations. At the same time, the material will be presented to the Title IV State program coordinators and Title IV State Advisory Council Chairpersons in Hyannis, Massachusetts.

This current proposal has also just been sent to all Chief State School Officers. Perhaps, you have received yours by now.

In November, we will begin OMB clearance. It seems highly unlikely that OMB will suggest an increase in data requirements as a result of its review.

Thank you, as always, for your candid expression of concern. I think you will find that we are carefully considering the financial costs and management burden of data collection for Title IV and that we want to be responsive.

Sincerely,

T. H. Bell
U.S. Commissioner
of Education

STATE OF GEORGIA
DEPARTMENT OF EDUCATION
OFFICE OF THE STATE SUPERINTENDENT OF SCHOOLS
STATE OFFICE BUILDING
ATLANTA 30334

JACK P. NIX
State Superintendent of Schools

September 25, 1975

Honorable Terrel H. Bell
Commissioner of Education
U. S. Office of Education
400 Maryland Street
Washington, D.C. 20202

Dear Ted:

I have received and carefully reviewed a memorandum with enclosures of August 22, 1975, from Mr. Thomas J. Burns relative to the data requirements under Title IV of PL 93-380. This 19-page document causes great concern in that it supposedly represents the minimum data requirements of the U. S. Office of Education for Title IV.

I have serious questions over the necessity or desirability of USOE collecting this vast amount of information on this one title in addition to that required elsewhere in PL 93-380 for all education programs. Some of the items of information, such as the FY 1973 expenditures for administration, should already be available in USOE while others are not specifically required by the law nor have any real apparent value. For example, the information requirements relative to dissemination activities under Section 403 (a) (b) do not seem to be supported by the wording of the statute.

The costs of collecting and reporting data have escalated greatly in the past few years. As administrators of educational programs, we must assure that the maximum benefit is derived from each dollar available at the state, local, and federal levels. I strongly feel that the collection of unnecessary data detracts from funds that could be better spent helping the children of this nation, and I solicit your cooperation in working with the CEIS group of the CCSSO in assuring each item of information collected is essential to the legal or managerial requirements of the program.

With warm personal regards, I am

Sincerely,

Jack P. Nix
State Superintendent of Schools

JPN:lf

cc: Mr. James E. Mitchell, President CEIS
Mr. Mark Shedd, Connecticut Commissioner of Education
Mr. Thomas J. Burns

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

August 22, 1975

MEMORANDUM TO CHIEF STATE SCHOOL OFFICERS

SUBJECT: P.L. 93-380, Title IV Information Analysis

Over the past few months, we have been working to identify the information needs associated with the administration of P.L. 93-380, Title IV. These needs will have to be met through reporting mechanisms, on-site monitoring and evaluative studies.

Naturally, our attention is drawn to understanding this law's effects. Specifically, the authors of this law perceived that the efficiency and effectiveness of the administration of these programs could be improved if the locus of decision making were to be closer to the recipients of the programs and services to be provided. Moreover, decentralized decision making, it was believed, could result in a better matching of Federal dollars with State and local needs. This is the focus of what we need to know about in the next three years.

As a result of our internal efforts, two analyses have been prepared reflecting the extremes on the continuum of data needs for Title IV: one end indicating the maximum data requirements that can be justified in accordance with the legislative intent; and, on the other end, an analysis of the minimum essential data.

Over the next two weeks, the OE staff will be working to review these with some State representatives, including some CEIS members, and some State Advisory Council chairmen. This work group will prepare the corpus of the Annual Report that will be submitted for OMB clearance which can take up to three months. The final report will call for more data to be collected than would the enclosed analysis which represents only that which is unquestionably needed (minimum essential data). Such considerations as maintaining data comparability with that from the past will be reviewed by the work group. It is expected that they will call for additional material to be added.

In addition, these work groups will have identified certain areas needing special evaluative studies or inclusion in our monitoring visits. Again, over the upcoming few months we will be working with State representatives to finalize our monitoring design and evaluation strategies. As the result of all these efforts are available, I will communicate them to you.

An additional copy of the minimum data analysis is enclosed for your distribution to the person in your department responsible for administering Title IV. If as a result of your review you have comments, please forward them to me no later than September 12th.

Thomas J. Burns

Thomas J. Burns
Acting Associate Commissioner for
State & Local Educational Programs

Enclosure

PREFACE

The following analysis is the maximum data request which we feel at the preliminary stage to be unquestionably justified by P.L. 93-380. As such, it represents a close approximation of the basic data (performance, financial, and statistical) which will be requested in the Annual Report.

Pages 1-3 consist of applicable definitions drawn from proposed regulations and current standards. Pages 4-18 consist of interrelated performance, financial, and statistical information requests developed to provide an integrated perspective in the analysis of Title IV programs. This request provides essential information on the comparison of program goals with actual accomplishments, reasons for slippage, program accomplishments and management control systems as well as quantitative data on the use and impact of Title IV funds. The specific data elements were included for their ability to answer specific questions drawn from the legislation and potential users. Pages 4-8 consist of performance questions arrayed and cited by pertinent legislative authority. Pages 9-18 consist of financial and statistical data elements arrayed and cited by pertinent legislative and regulation authority.

Legislative and regulation citations have been provided to stress the legitimacy of the request as well as to prevent any confusion arising as to the specific nature of the data requested. (For example: data sought under 134b.10(c) "remedial instruction and services" refers to

> "remedial instruction, and school health, physical education, recreation, psychological, social work, and other services designed to enable and encourage persons to enter, remain in, or reenter educational programs, including the provision of special educational programs and study areas during periods when schools are not regularly in session."

The current array is in no way indicative of the final format which the Annual Report will take. The final format will, of course, be consistent with OMB regulations. Divergence from and additions to the data presented in this analysis will result from the OMB clearance process. Consideration of data requested in the past under categorical programs which still has legislative significance will also be considered.

DEFINITIONS - TITLE IV

1. "Academic subjects" includes, but is not limited to, the following elementary and secondary school subjects" The arts, civics, economics, English, geography, history, the humanities, industrial arts, mathematics, modern foreign languages, reading, and science.

2. "Children with specific learning disabilities" means those children who have a disorder in one or more of the basic psychological processes involved in understanding or in using language, spoken or written, which disorder may manifest itself in imperfect ability to listen, think, speak, read, write, spell, or do mathematical calculations. Such disorders include such conditions as perceptual handicaps, brain injury, minimal brain dysfunction, dyslexia, and developmental aphasia. Such term does not include children who have learning problems which are primarily the result of visual, hearing, or motor handicaps, of emotional disturbance, or of environmental disadvantage.

3. "Cultural and educational resources" includes: State educational agencies, local educational agencies, private nonprofit elementary and secondary schools, institutions of higher education, public and nonprofit agencies such as libraries, museums, musical and artistic organizations, educational radio and television, and other cultural and educational resources.

4. "Elementary School" is a school classified as elementary by State and local practice and composed of any span of grades not above grade 8. A preschool or kindergarten school is included under this heading only if it is an integral part of an elementary school or a regularly established school system.

5. "Handicapped children" means mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled or other health impaired children who by reason thereof require special education and related services. The term includes children with specific learning disabilities to the extent that such children are health impaired children who by reason thereof require special education and related services.

6. "Local educational agency" means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools. Such term also includes any other public institution or agency having administrative control and direction of public elementary or secondary school.

7. "Minor remodeling" means minor alterations which are (a) made in a previously completed building used or to be used as a laboratory or classroom for instructional subjects, and (b) needed to make effective use of equipment in providing instruction. The term does not include building construction, structural alterations to buildings, or building maintenance repair, or renovation.

8. "Nonprofit" as applied to a school means a school owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

9. "Occupational education" as used in Part B encompasses "occupational education" and "career education." "Occupational education" is designed primarily to prepare pupils for immediate employment in an occupation or cluster of occupations. "Career education" is a comprehensive K-12 program that introduces every child to the world of work and prepares him for a place in it.

10. "Other instructional materials" are the same types of printed and audiovisual materials as are defined in "school library resources," but they are not processed and organized for use.

11. "Personnel" (LEA) are employees of an LEA or any persons under the supervision of the LEA who are eligible for workmen's compensation, Federal Insurance Contribution Act, and wage or salary tax withholdings. Included are persons who volunteer their services. (IVA) (SEA) Either employees of the State department of education or members of a State board of education.

12. "Private school" means a nonprofit school not under public supervision or control.

13. "Private school children" refers to children who are enrolled in private non-profit elementary and secondary schools.

14. "School library resources" are books, periodicals, documents, pamphlets, reproductions, pictorial or graphic works, musical scores, maps, charts, globes, sound recordings, including but not limited to those on discs and tapes; processed slides, transparencies, films, filmstrips, kinescopes, and video tapes, or any other printed and audiovisual materials of a similar nature made by any method now developed or hereafter to be developed, and which are processed and organized for use by elementary or secondary school children and teachers. The term includes those printed and published materials which are suitable for use and are to be used by children and teachers in elementary or secondary schools and which with reasonable care and use may be expected to last more than one year. The term does not include furniture or equipment.

15. "Secondary school" is a school comprising any span of grades beginning with the next grade following an elementary or middle school and ending with or below grade 12.

16. "Short-term training sessions" for persons engaged in guidance and counseling in elementary and secondary schools are sessions conducted or contracted for by local educational agencies to provide developmental activities which expand or strengthen guidance and counseling programs in elementary and secondary schools. The length of the sessions is such that the absence of local school guidance personnel from their professional responsibilities will not prevent their performance on a regular and nearly full-time basis.

17. "State advisory council" means the advisory council established under Section 403(b) of the Act.

18. "State educational agency" means the State board of education or other agency or officer primarily responsible for State supervision of public elementary and secondary schools.

19. "Teacher" includes any person who is engaged in carring out the instructional program of an elementary or secondary school, including a principal, guidance counselor, school librarian/media specialist, or other member of the instructional or supervisory staff.

20. "Testing" means the use of test, aptitudes, educational achievement, or interests, pertaining to an individual's educational or career development.

21. "Textbook" means a book, reusable workbook, or manual, whether bound or in looseleaf form, intended for use as a principal source of study materials for a given class or groups of students, a copy of which is expected to be available for the individual use of each student in such class or group.

PERFORMANCE - TITLE IV

Part A. General Administration

1. Describe briefly the implementation of the administrative procedures and activities set forth in the Annual Program Plan for administering and supervising the Title IV program during the year.

2. If the administrative procedures and activities could not be fully implemented, what were the reasons?

3. What was the cumulative effect of these procedures and activities on Title IV program administration?

4. Assess the extent to which the respective Title IV programs have contributed to the attainment of educational goals in the State.

403(a)(2): Describe any deviations from the program set forth in compliance with Section 403(a)(2).

403(a)(3): Describe any deviations from the assurances made in compliance with Section 403(a)(3).

403(a)(4): Describe any deviations from the assurances made and specific criteria developed in compliance with Section 403(a)(4).

403(a)(5): Describe the impact of local discretion in the use of Part B funds in meeting the needs of public and private school children for school library resources, textbooks, and other instructional materials; equipment and minor remodeling; and counseling, guidance, and testing programs.

403(a)(6): 1. Was the evaluation design included in the Annual Program Plan followed? If not, detail nature and reason for divergence.

2. Describe the extent of attainment of the procedures and calendar set forth in the Annual Program Plan for dissemination of the results of State Advisory Council evaluation and other information. If the procedures and calendar planned could not be fully carried out, what were the reasons?

3. What methods of dissemination were used for Part B? For Part C?

4. To what extent has the SEA disseminated evaluation findings in a form and language that the community, legislature, and potential adoptors can understand?

5. To what extent has the SEA employed effective procedures for the identification and adoption of promising educational practices developed through innovative programs supported under Part C? What are these procedures?

403(a)(7): Describe the effects of the adoption of the single application requirement. Give particular attention to this requirement's effect on reducing the amount of paperwork of the State and local levels.

403(a)(8): (Reference financial/statistical material attached.)

403(a)(9): Describe any deviations from the assurances made in compliance with Section 403(a)(9).

403(a)(10): Describe any deviations from the policies/procedures set forth in compliance with Section 403(a)(10).

403(a)(11): Describe any deviations from the assurances made in compliance with Section 403(a)(11).

403(b)(1): 1. Describe the extent and manner in which the Advisory Council advises on the preparation of the Annual Program Plan.

2. Describe the extent and manner in which the Advisory Council advises on policy matters arising in the administration of the Annual Program Plan.

3. Describe the extent and manner in which the Advisory Council was involved in the development of the Part B Formula and the Part C criteria for the distribution of funds and the approval of projects for funding under Title IV.

(Reference statistical material attached.)

403(b)(3): (Reference statistical material attached.)

403(b)(4): (Reference statistical material attached.)

406: 1. Does each application submitted to the SEA adequately provide information indicating:

a. the number of private school children in the school district of the LEA,

b. the number of private school children to be served by Title IV projects and the basis on which such children were selected,

c. the manner in which and the extent to which "appropriate private school officials" were consulted,

d. the placed at which and the times during which private school children will be served,

e. the differences, if any, in the kind and extent of services to be provided public and private school children and the reasons for such differences,

f. the adjustments (if any) which the LEA has made with respect to average expenditure equity per child, and the basis on which such adjustments were made.

406: 2. Are there adequate provisions to avoid the separation of participating children by school enrollment or religious affiliation in any project to be carried out in public facilities which involves joint participation by children enrolled in private and public schools?

3. To what extent has each appropriate public agency administered and controlled the funds, materials, equipment, property, and services and maintained title to such materials, equipment, and property as provided for private school participation?

(Reference statistical material attached.)

Part B. Administration - Libraries and Learning Resources

1. a) Describe briefly the extent of implementation of the procedures and activities set forth in the Annual Program Plan to accomplish the program purposes of Part B. Attach any appropriate exhibits.

   b) If the procedures and activities could not be fully implemented, what were the reasons?

   c) What was the cumulative effect of these procedures and activities on participating local educational agencies and the public and private school participants within the jurisdiction of these agencies?

2. Describe any critical problems that have arisen in the administration of Part B.

3. Assess the extent to which Title IV has contributed to the attainment of educational goals in the State, in view of the fact that the local educational agencies have complete discretion in the choice of purposes for the use of Part B funds.

4. Describe the most urgent needs still unmet in your State for a) materials and equipment; and b) guidance and counseling, and testing programs.

5. Indicate Statewide trends in the types of materials and equipment being acquired, and in guidance and counseling, and testing programs.

421(a), 421(b): (Reference financial/statistical material attached.)

Part C. Administration - Education Innovation and Support

1. For each objective in the approved Annual Program Plan, describe the activities actually conducted toward achieving the objective; identify the kinds of data used to evaluate results. Attach any appropriate exhibits such as samples of evaluative instruments, publications, and materials.

2. For each objective describe the results and benefits derived by agencies, individual participants and/or affected populations.

3. For each objective not met, provide information as to the degree of achievement and the reasons activities undertaken were not successful in accomplishing the objective. In each case where an objective was not met, describe what action has been taken which should lead to the attainment of that objective.

4. Describe the most urgent needs still unmet in your State for (a) learner needs, (b) SEA and LEA strengthening/leadership.

431(a), 431(b): (Reference financial/statistical material attached.)

FINANCIAL/STATISTICAL - TITLE IV

403(a)(8)(A): total Part B expenditure:

403(a)(8)(A): total Part B expenditure for administration:

403(a)(8)(A): total Part C expenditure:

403(a)(8)(A): total Part C expenditure for administration:

403(a)(8)(A): total Section 431(a)(3) expenditure:

403(a)(8)(A): total expenditures from Federal sources (listed below) for administration in FY 1973 for:

- --ESEA II
- --NDEA III
- --ESEA III

403(a)(8)(B): total Title IV, Part C $ spent on programs/projects for handicapped children and children with specific learning disabilities:

403(a)(8)(A): Total FTE positions supported by Part B administrative funds:

403(a)(8)(A): Total FTE positions supported by Part C administrative funds:

403(b)(1)(C): # of programs and projects fully evaluated by Advisory Council and brief description of type of evaluation method used:

403(b)(4) : Total $ expended by State Advisory Council:
$ expended by State Advisory Council for evaluation:

406 : # of private elementary school children enrolled:
# of private secondary school children enrolled:
# of public elementary school children enrolled:
# of public secondary school children enrolled:
# of private elementary school children participating in Title IV programs/projects:
# of private secondary school children participating in Title IV programs/projects:
# of public elementary school children participating in Title IV programs/projects:
# of public secondary school children participating in Title IV programs/projects:

LIBRARIES AND LEARNING RESOURCES

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of public elementary schools participating	# of public secondary schools participating	# of private elementary schools participating	# of private secondary schools participating	# of public elementary school children participating	# of public secondary school children participating	# of private elementary school children participating	# of private secondary school children participating	# of public elementary school teachers participating	# of public secondary school teachers participating	# of private elementary school teachers participating	# of private secondary school teachers participating
421(a)(1)	School Library Resources, Textbooks, and other Instructional Material (not including that used by Occupational Education) - Total															
	School Library Resources															
	Textbooks															
	Other Printed and Published Materials															
134(a)(10)	School Library Resources, Textbooks, Instructional Materials -(Occupational Education)- Total															
	Instruction															
	Orientation															
	Guidance/Counseling															

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of public elementary schools participating	# of public secondary schools participating	# of private elementary schools participating	# of private secondary schools participating	# of public elementary school children participating	# of public secondary school children participating	# of private elementary school children participating	# of private secondary school children participating	# of public elementary school teachers participating	# of public secondary school teachers participating	# of private elementary school teachers participating	# of private secondary school teachers participating
421(a)(2)	Instructional Equipment and Minor Remodeling - Total															
	Laboratory Equipment															
	Audio-visual Materials and Equipment (academic subjects)															
	Other Special Equipment															
	Minor Remodeling of Laboratory or other Space for Instructional Equipment															
421(a)(3)(A)	Testing															
421(a)(3)(B)	Counseling and Guidance - Total															
	Short-term Training Sessions (counseling and guidance)															
	Other Counseling and Guidance Programs															
421(a)(3)(C)	Expanding/Strengthening Counseling and Guidance - Total															
	Leadership Activities															
	Other programs															

EDUCATIONAL INNOVATION AND SUPPORT

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of public elementary schools participating	# of public secondary schools participating	# of private elementary schools participating	# of private secondary schools participating	# of public elementary school children participating	# of public secondary school children participating	# of private elementary school children participating	# of private secondary school children participating	# of public elementary school teachers participating	# of public secondary school teachers participating	# of private elementary school teachers participating	# of private secondary school teachers participating	# of handicapped children participating	# of teachers providing services to handicapped children participating
431(a)(1)	Supplementary Educational Centers and Services - Total																	
	Inservice Training																	
134(b)(10)(A)	Planning and Pilot Projects																	
134(b)(10)(B)	New and Exemplary and Innovative																	
134(b)(10)(C)	Remedial Instruction and Services																	
	Continuing Adult Education																	
	Occupational Education																	
	Specialized Instruction																	
	Improved Education Technology and Special Personnel																	
	Radio and Television																	
	Critical Educational Needs																	
	Special Services to Rural and Isolated Areas																	
	Encouraging Community Involvement																	
	Programs for Gifted and Talented																	
	Other																	

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of private Educational Agencies participating	# of public elementary schools participating	# of public secondary schools participating	# of private elementary schools participating	# of private secondary schools participating	# of public elementary school children participating	# of public secondary school children participating	# of private elementary school children participating	# of private secondary school children participating	# of public elementary school personnel participating	# of public secondary school personnel participating	# of private elementary school personnel participating	# of private secondary school personnel participating
431(a)(2)	Nutrition and Health Demonstration Projects (LEA) - Total																
431(a)(2)(A)	Coordinating Nutrition and Health Service Resources																
431(a)(2)(B)	Supplementary Health Services																
	Mental Health Services																
	Nutrition Services																
	Food Services																
431(a)(2)(C)	Nutrition and Health Training Programs																
	Evaluation of Nutrition and Health Projects Assisted with Part C Funds																
431(a)(2)	Nutrition and Health-Other																

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of FTE positions supported
431(a)(3)	**Strengthening Leadership Resources of SEA and Assisting SEA's - Total**				
	Personnel				
134(b)(30)	Statewide Educational Planning and Evaluation Programs				
	Data Information System Programs				
	Dissemination Programs				
	Research, Development and Demonstration Programs				
	Publication and Distribution of Curriculum Materials				
	Teacher Preparation Programs				
	Programs to Encourage Use of Paraprofessionals				
	Educational Financing Studies				
	Programs to Measure Student Educational Achievement				
	Staff Development Programs				
	Providing LEA's with Technical Assistance				
	SEA other				

		Title IV Dollars Expended	# of programs/projects funded	# of LEA's participating	# of FTE positions supported
431(a)(3)	**Strengthening Leadership Resources of LEA and Assisting LEA's - Total**				
	Personnel				
134(b)(40)	LEA planning and evaluation programs				
	LEA data information systems programs				
	LEA research/development and demonstration programs				
	LEA teacher preparation programs				
	LEA programs to encourage use of paraprofessionals				
	LEA technical assistance programs				
	LEA staff development programs				
	LEA interdistrict consortia				
	LEA other				
134(b)(5)	**Comprehensive planning/continuing evaluation - Total**				
	SEA comprehensive planning/continuing evaluation				
	LEA comprehensive planning/continuing evaluation				
	LEA demonstration projects to improve planning and evaluation systems and techniques				

☐ Title IV Dollars Expended

134(b)(31) - Transfer to Other SEA's
Received from Other SEA's

431(a)(4) Innovative Dropout Prevention Demonstration Projects

☐ Title IV Dollars Expended
☐ # of programs/projects funded
☐ # of LEA's participating
☐ Title IV dollars expended in rural areas
☐ Title IV dollars expanded in ubran areas
☐ Title IV dollars expended in low income areas
☐ Title IV dollars expended in high dropout areas
☐ # of urban public elementary schools participating
☐ # of rural public elementary schools participating
☐ # of urban public secondary schools participating
☐ # of rural public secondary schools participating
☐ # of urban private elementary schools participating
☐ # of rural private elementary schools participating
☐ # of urban private secondary schools participating
☐ # of rural private secondary schools participating
☐ # of urban public elementary school children participating
☐ # of rural public elementary school children participating
☐ # of urban public secondary school children participating
☐ # of rural public secondary school children participating
☐ # of urban private elementary school children participating
☐ # of rural private elementary school children participating
☐ # of urban private secondary school children participating
☐ # of rural private secondary school children participating
☐ # of teachers participating

APPENDIX C

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

February 17, 1977

MEMORANDUM FOR CHIEF STATE SCHOOL OFFICERS

SUBJECT: ELEMENTARY AND SECONDARY SCHOOL CIVIL RIGHTS SURVEY: SCHOOL YEAR 1976-1977

This is to advise you that the Secretary has reviewed the data collection requirements of the Office for Civil Rights (OCR) for the current school year and has reaffirmed that the Elementary and Secondary Education Survey Forms OS/CR 101 and 102 be filed,

However, to assist the schools in meeting the requirement for submission of the survey forms 101 and 102, OCR has decided that the report dates will be extended. For those districts applying for Emergency School Aid (ESAA), the reporting date for race and ethnic data has been extended from February 1 to March 1, 1977. For all districts, the reporting date for the survey has been extended to April 30, 1977. For purposes of ESAA only, districts may supply OCR with the racial and ethnic data in any reasonably usable form. However, that does not alter the responsibility for those districts to have submitted completed 101 and 102 forms by April 30.

I am assured by the U.S. Office of Education that ESAA districts submitting their survey forms by March 1, 1977, will not be penalized in the funding cycle for failure to get their required racial and ethnic data either on the 101 and 102 forms or in other usable form to OCR by the original reporting date, February 1, 1977.

To assure adequate advance notice, we are now advising you that OCR will conduct a formal survey during the next school year, 1977-1978. Furthermore, it is our intention to use forms 101 and 102 again next year without additional questions. OCR is now reviewing the forms to ascertain whether any questions may be deleted. We will seek the views of the Council of Chief State School Officers on this matter.

Attached is a list of the school systems in your State which will be required to file reports for the 1977-1978 school year. The Department is reviewing school districts with less than 3000 students to determine whether a smaller or different sampling can be used.

Also attached is a copy of the pertinent section of the Title VI Regulation with respect to the filing of data. Failure to file forms 101 and 102 constitutes a violation of 45 CFR 80.6. It is requested that this information be disseminated to all of your constituent local education agencies as expeditiously as possible.

Albert T. Ham

Albert T. Hamlin
Acting Director
Office for Civil Rights

Attachments

LIST OF SCHOOL DISTRICTS TO RECEIVE THE 1977 ELEMENTARY AND SECONDARY SCHOOL CIVIL RIGHTS SURVEY

State: Georgia

District Name

Americus City
Appling County
Atkinson County
Atlanta City
Bacon County
Baker County
Baldwin County
Banks County
Barrow County
Bartow County
Ben Hill County
Berrien County
Bibb County
Bleckley County
Brooks County
Bryan County
Buford City
Bulloch County
Burke County
Butts County
Calhoun County
Camden County
Candler County
Carroll County
Carrollton City
Cartersville City
Charlton County
Chatham County
Chattahoochee County
Cherokee County
Clarke County
Clay County
Clayton County
Clinch County
Cobb County
Cochran City
Coffee County
Colquitt County
Columbia Coungy
Cook County
Coweta County

State: Georgia (Cont'd.)

District Name

Crawford County
Crisp County
Dalton City
Decatur City
Decatur County
DeKalb County
Dodge County
Dooly County
Dougherty County
Douglas County
Dublin City
Laurens County
Early County
Echols County
Effingham County
Elbert County
Emanuel County
Evans County
Fayette County
Fitzgerald City
Franklin County
Fulton County
Gainesville City
Glascock County
Glynn County
Grady County
Greene County
Griffin City-Spaulding County
Gwinnett County
Habersham County
Hall County
Hancock County
Haralson County
Harris County
Hart County
Heard County
Henry County
Hogansville City
Houston County
Irwin County
Jackson County
Jasper County
Jeff Davis County
Jefferson City

State: Georgia (Cont'd.)

District Name

Jefferson County
Jenkins County
Johnson County
Jones County
LaGrange City
Lamar County
Lanier County
Lee County
Liberty County
Lincoln County
Long County
Macon County
Madison County
Marietta City
Marion County
McDuffie County
McIntosh County
Meriwether County
Miller County
Mitchell County
Monroe County
Montgomery County
Morgan County
Muscogee County
Newton County
Oconee County
Oglethorpe County
Paulding County
Peach County
Pelham City
Pierce County
Pike County
Polk County
Pulaski County
Putnam County
Quitman County
Randolph County
Richmond County
Rockdale County
Rome City

State: Georgia (Cont'd.)

District Name

Schley County
Screven County
Seminole County
Social Circle City
Stephens County
Stewart County
Sumter County
Talbot County
Tattnall County
Taylor County
Telfair County
Terrell County
Thomas County
Thomaston City
Thomasville City
Tift County
Toombs County
Treutlen County
Troup County
Turner County
Twiggs County
Upson County
Valdosta City
Vidalia City
Walker County
Walton County
Ware County
Warren County
Washington County
Waycross City
Wayne County
Webster County
West Point City
Wheeler County
Wilcox County
Wilkes County
Wilkinson County
Worth County

MAY 14 1976

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

May 12, 1976

MEMORANDUM FOR CHIEF STATE SCHOOL OFFICERS

SUBJECT: Recordkeeping on Student Discipline Procedures and Actions in School Districts

In January 1976, we sent you a memorandum concerning recordkeeping on student discipline procedures and actions in school districts. It revised the August 1975 memorandum on the same subject and reflected our efforts to consider your concerns about recordkeeping requirements. The recordkeeping requirements set out in the January memorandum were to be effective with the opening of the 1976-77 school year.

The recordkeeping requirement in the January memorandum was not submitted for approval to the Office of Management and Budget (OMB), as is required under the Federal Reports Act. We have now submitted the memorandum to OMB for approval. Until such approval is given, the official status of the January memorandum is that of a proposed requirement.

The data specified in the January memorandum are those which we consider the minimum necessary for us to carry out our responsibility to enforce the nondiscrimination provisions of Title VI of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972. During its review of the memorandum, OMB will be soliciting views on this point. Should you wish to submit any comments, please send them to Mr. Roye Lowry, Clearance Officer, Office of Management and Budget, New Executive Office Building, Washington, D.C. 20503.

If you would like for us to send a copy of this memorandum to the local education agencies in your State affected by the January 1976 memorandum, please let me know.

Martin Gerry

Martin H. Gerry
Director
Office for Civil Rights

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

JAN 15 1976

JANUARY 1976

MEMORANDUM FOR CHIEF STATE SCHOOL OFFICERS

SUBJECT: Revision of the Memorandum of August 1975 About Record Keeping on Student-Discipline Procedures and Actions in School Districts

As a result of discussions with staff of several state education agencies, our attention has been called to a number of difficulties encountered by local education agencies in complying with our memorandum of August 1975 titled "Record Keeping on Student-Discipline Procedures and Actions in School Districts."

First, because the memorandum was not distributed until late summer, a time when most school systems had already completed preparations for the new school year, the time frames for record keeping imposed by the memorandum may provide local school officials insufficient time to make necessary adjustments to existing procedures. Second, despite our efforts to be precise in defining record-keeping requirements, many school officials have experienced difficulty in relating their student-discipline procedures to the specifics of the memorandum. In addition, the racial/ethnic designations set forth in the memorandum have been superseded. Third, confusion has arisen with respect to the format(s) in which school systems have been required to maintain information related to the discipline process.

Finally, questions have been raised as to whether the request to local school districts for the maintenance of information could have been limited to a sample of districts.

In light of these concerns, the Office for Civil Rights has determined that certain changes should be made in the requirements of the August memorandum in order to accomplish the underlying purposes of the memorandum without unnecessarily burdening state or local school officials.

The memorandum as drafted states that "Beginning with the 1975-76 school year, the Office for Civil Rights requests that all school systems receiving Federal financial assistance maintain the following kinds of documents." This sentence is intended to require that local education agencies maintain records from which important data related to the student disciplinary process can be derived. The outline of documents which follows the sentence is intended to be illustrative rather than definitive:

- State statutes pertaining to student discipline, including regulations or by-laws issued by the State Board of Education.

- Written statements issued by the Board of Education, the Superintendent of Schools, school principals, teachers, or other agents of the Board regarding school policies, standards, practices, and procedures for the discipline of students including, but not limited to, by-laws, handbooks, notices, memoranda or logs. The criteria and procedures used to develop these written statements should be explained, as well as the means by which they were communicated or disseminated to school staff, parents, and/or students.

- An accounting of the numbers of students subject to disciplinary actions as described below starting with the school year 1975-76. This accounting should contain an entry for each student subject to disciplinary action as described below, the racial/ethnic designation and sex of the student, the school attended, a description of the offense or offenses for which disciplined, the title of the person or persons reporting the offense, the title of the person or persons imposing the action or actions, and a concise procedural history leading to the disciplinary action or actions from the initial reporting of the offense through final disposition of the case. The accounting should indicate which alternatives to the disciplinary action, if any, were considered prior to the imposition of the disciplinary action.

- A log or logs of any formal or informal hearing related to disciplinary actions by the Board of Education, the superintendent of schools, school principals or other designees of the superintendent. Entries should include, but not be limited to, the racial/ethnic designation and sex of the student, the school attended, the nature of the offense or offenses, the form of notice given to the student, the hearing authorities, whether or not the hearing preceded removal from school, explanation of necessity for removal from school prior to hearing and the time elapsed, a description of the testimony offered, the findings, and the disposition of the case.

- The kinds of disciplinary actions for which entries should be kept would include, but not be limited to, (1) expulsion, (2) suspension reported by number of school days, (3) corporal punishment (eg. spanking and paddling but not staying after school or standing in the corner), (4) referral to special classes or schools for behavioral modification, and (5) transfer to another class or school.

- An accounting of student withdrawals from school (dropouts), containing an entry for each student who withdraws, the school attended, the ethnic designation and sex of the student, and the reason for withdrawal.

- A log of referrals of discipline cases to courts or to juvenile authorities. Entries should include a description of the offense or offenses, the ethnic designation and sex of the student, the school attended, and the disposition of the case.

Accordingly, school districts which maintain records in other formats which contain (as currently constituted or as modified) the basic type of information described in our August 1975 memorandum may continue to use such formats. To the extent that such formats are or may be prescribed by state education agencies, a statewide approach to satisfying this requirement is entirely feasible. Any system that reliably records the information would be acceptable. OCR staff would be happy to meet with state and local officials at any time to discuss alternate approaches to the record-keeping requirement. We would appreciate your designating a statewide coordinator (and so informing local school districts within your state) in order to facilitate such discussion.

Because of the poor timing of the memorandum and our desire to encourage an ongoing dialogue with state agencies, OCR has decided to alter the timeframes specified by the August memorandum. Accordingly, while we would strongly encourage action during the 1975-76 school year, we are not requiring local education agencies to initiate any new record keeping requirements until the opening of the 1976-77 school year.

However, consistent with practice begun several years ago in connection with our annual survey of local education agencies on Forms OS/101 and 102, school districts will be expected during the remainder of the 1975-76 school year to include information relating to the race and sex of students being disciplined on any student-discipline records currently maintained.

In this regard, the racial/ethnic categories or designations to be used in the collection and maintenance of data set forth in the August memorandum should be disregarded. Rather, the new categories/designations set forth below, which a number of Federal agencies use, should be followed:

> American Indian or Alaskan Native -- A person having origins in any of the original peoples of North America.

Asian or Pacific Islander -- A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

Black, not of Hispanic Origin -- A person having origins in any of the black racial groups.

Hispanic -- A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

White, not of Hispanic Origin -- A person having origins in any of the original peoples of Europe, North Africa, the Middle East, or the Indian subcontinent.

OCR has already begun discussions with the Committee on Evaluation of Information Systems (CEIS) of Council of Chief State School Officers in order to clarify and, where appropriate, amend certain of our required categories of documentation. Future discussions will be coordinated with the National Center for Educational Statistics (NCES).

Finally, the decision to require the regular maintenance of the type of data specified in the August memorandum is based, in part, on our experience that most of the information pertaining to this subject matter is difficult, and in some instances virtually impossible, to recreate if the schools do not maintain it on a current basis. When a review is initiated of a school district whose records are incomplete or non-existent, necessitating retrospective compilations, meeting our request for various kinds of information is apt to prove more burdensome than if the information had been routinely kept or kept up-to-date.

We are also aware that many school systems, independently or pursuant to State policy, already maintain most or all of the information indicated in the memorandum.

We have decided that the initial application of these record-keeping requirements should be limited to the approximately 3,000 school districts in the nation enrolling significant numbers of minority children. Approximately 90% of the minority students attending public schools in the United States are enrolled in these districts. A list of the districts in your state is attached.

Since some State Education Agencies prefer to mail report forms and policy memoranda to the local education agencies and other States prefer that this Department mail them directly to the local education agencies, we would appreciate it if you would notify the Office for Civil Rights which method you prefer, the practice that has been followed with regard to our forms 101 and 102. We recognize that we erred in mailing a courtesy copy of the August memorandum directly to the local education agencies in your state before seeking your preference.

We regret any inconvenience caused by the failure of the August memorandum to address fully all of the matters discussed above and look forward to a close working relationship during the next year with CEIS and with each of your agencies in this important area of mutual concern.

Martin Gerry

Martin H. Gerry
Acting Director
Office for Civil Rights

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C. 20201

NOV 10 1975

The Honorable Jack P. Nix
President, Council of Chief
State School Officers and
State Superintendent of Schools
State Department of Education
Atlanta, Georgia 30334

Dear Superintendent Nix:

Please accept my apology for the delay in responding to your letter of September 29 regarding a memorandum the Department recently issued concerning recordkeeping requirements with respect to student discipline procedures and actions of school systems. I particularly appreciate your taking the time to share your views with me.

The Department recognizes certain problems that have arisen in connection with the memorandum and our attention has been called to a number of difficulties encountered by local education agencies in complying with the memorandum. First, I agree with your view concerning the timing in the release of the memorandum, when most school systems had already completed preparations for the new school year. Accordingly, the time frame for recordkeeping imposed by the memorandum may provide many districts with insufficient time to make the necessary arrangements with respect to revising informational systems. Also, I regret the memorandum failed to indicate the new racial/ethnic designations for compliance reporting and recordkeeping requirements embodied in the memorandum issued by the Office of Management and Budget to which your letter refers. Despite our efforts to be precise in defining requirements, many school officials have indicated difficulty in relating their student discipline procedures to the specifics of the memorandum. Also, some confusion has arisen with respect to the format or formats in which school systems have been required to maintain the specified information. Finally, there have been other school officials who agree with your view that a recordkeeping requirement would best be limited to some relevant sampling of districts.

As you know, on October 10 staff of the Department's Office for Civil Rights met with Mr. James Mitchell, Chairman, Committee on Evaluation of Information Systems (CEIS) of the Council of Chief State School Officers, and discussed clarification and amendment of certain aspects of the memorandum. The Department is considering a number of modifications in the memorandum, and the Chief State School Officers will be notified of any changes and/or revisions.

Again, I appreciate your bringing your views to my personal attention.

Cordially,

/s/David Mathews

Secretary

bcc: Dr. Byron Hansford
Dr. Ray Peterson
Dr. John Pittenger
Mr. Ellis Bateman
Dr. Jess Elliott

September 29, 1975

COPY

Honorable David Mathews
Secretary
U. S. Department of Health, Education,
and Welfare
330 Independence Avenue, S. W.
Washington, D. C. 20201

Dear Secretary Mathews:

This is in reference to the memorandum for Chief State School Officers dated August 1975 from Martin H. Gerry, Acting Director, Office for Civil Rights, on the subject, "Record Keeping on Student-Discipline Procedures and Actions in School Districts".

The procedures described for compliance in this memorandum are impractical and inappropriate. First, this memo was received the last week in August, and the provisions are to take effect the first week in September.

Secondly, such a request for data keeping and provision of records should not be sent by OCR directly to the local school districts. OCR should request that necessary information from local school districts be provided by state education agencies.

It is clearly impractical for OCR to attempt to deal with the 16,000 school districts across the United States in obtaining this type of information.

The memorandum is quite unrealistic in the detail and volume of information requested. Chief State School Officers agree with the need to protect the civil rights of minority children in school discipline procedures. In a number of states, procedures are already in place for obtaining information and taking appropriate compliance action. There is no doubt that the Office for Civil Rights and representatives of state education agencies could agree upon the necessary sampling techniques to obtain information.

I am also informed that this current memo violates agreements on pupil classification between OCR and other federal agencies and the states in effect under the OMB memo of April 15, 1975.

This particular matter is of considerable importance to me, but it also represents a continuing class of problems in federal-state-local information gathering and compliance procedures. Chief State School Officers regularly find themselves confronted by the federal government with impossible requests for information and compliance, or direct federal intervention with local school districts which abrogates the constitutional responsibilities of state education agencies.

I would like to suggest that this matter is important enough to warrant your meeting with a representative group of Chief State School Officers. I cannot emphasize strongly enough, in these early days of your tenure as Secretary, the strains currently being imposed on federal-state relations by matters such as this. I hope you agree it is important that there be clear communications between federal and state officials responsible for education. I believe this would be an appropriate time to arrange for a meeting at which these concerns can be discussed.

With warm personal regards, I am

Sincerely,

Jack P. Nix
President, CCSSO
and
State Superintendent of Schools, Georgia

JPN:mb

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

August 1975

MEMORANDUM FOR CHIEF STATE SCHOOL OFFICERS

SUBJECT: Record Keeping on Student-Discipline Procedures and Actions in School Districts

The Office for Civil Rights has recently reviewed and analyzed certain data on student discipline actions, which have been submitted on the Annual Civil Rights Survey Forms OS/CR 101 and 102 by recipient school districts. This data shows that, in many hundreds of school systems throughout the Nation, minority children are receiving a disproportionate number of discipline actions in the form of expulsions and suspensions and are being suspended for longer periods than nonminority children.

The Elementary and Secondary Education Division of the Office is now undertaking a program to ascertain compliance with civil rights statutes in school systems where there appear to be possible violations in the administration of student-discipline actions. In the course of the program, this Office will require school districts to furnish a number of documents relating to student discipline actions and procedures to serve as a basis for a preliminary determination of possible violations of these statutes.

Title VI of the Civil Rights Act of 1964 and the Department Regulation 45 CFR (Part 80) promulgated thereunder require that there be no discrimination on the basis of race, color, or national origin in the operation of any federally assisted programs. Section 80.6(b) of this Regulation provides:

> Each recipient shall keep such records and submit to the responsible Department official or his designee timely, complete and accurate compliance reports at such times, and in such form and containing such information, as the responsible Department official or his designee may determine to be necessary to enable him to ascertain whether the recipient has complied or is complying with this part. For example, recipients should have available for the Department racial and ethnic data showing the extent to which members of minority groups are beneficiaries of and participants in federally-assisted programs.

Similarly, Title IX of the Education Amendments of 1972 states in Section 901(a):

> No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance ...

The purpose of this memorandum is to request Chief State School Officers and their staff to inform their constituent school systems of the necessity to keep and retain complete records of student disciplinary actions and procedures. Although most school systems keep records on these matters already, we believe it would be of benefit to all school administrators to learn of the nature of the information this Office expects school systems to maintain. School districts are expected to retain all records regarding student disciplinary actions for at least the past two school years. Beginning with the 1975-76 school year, the Office for Civil Rights requests that all school systems receiving Federal financial assistance maintain the following kinds of documents.

- State statutes pertaining to student discipline, including regulations or by-laws issued by the State Board of Education.

- Written statements issued by the Board of Education, the Superintendent of Schools, school principals, teachers, or other agents of the Board regarding school policies, standards, practices, and procedures for the discipline of students including, but not limited to, by-laws, handbooks, notices, memoranda or logs. The criteria and procedures used to develop these written statements should be explained, as well as the means by which they were communicated or disseminated to school staff, parents, and/or students.

- An accounting of the numbers of students subject to disciplinary actions as described below starting with the school year 1975-76. This accounting should contain an entry for each student subject to disciplinary action as described below, the racial/ethnic designation and sex of the student, the school attended, a description of the offense or offenses for which disciplined, the title of the person or persons reporting the offense, the title of the person or persons imposing the action or actions, and a concise procedural history leading to the disciplinary action or actions from the initial reporting of the offense through final disposition of the case. The accounting should indicate which alternatives to the disciplinary action, if any, were considered prior to the imposition of the disciplinary action.

- A log or logs of any formal or informal hearing related to disciplinary actions by the Board of Education, the superintendent of schools, school principals or other designees of the superintendent. Entries should include, but not be limited to, the racial/ethnic designation and sex of the student, the school attended, the nature of the offense or offenses, the form of notice given to the student, the hearing authorities, whether or not the hearing preceded removal from school, explanation of necessity for removal from school prior to hearing and the time elapsed, a description of the testimony offered, the findings, and the disposition of the case.
- The kinds of disciplinary actions for which entries should be kept would include, but not be limited to, (1) expulsion, (2) suspension reported by number of school days, (3) corporal punishment, (4) referral to special classes or schools for behavioral modification, and (5) transfer to another class or school.
- An accounting of student withdrawals from school (dropouts), containing an entry for each student who withdraws, the school attended, the ethnic designation and sex of the student, and the reason for withdrawal.
- A log of referrals of discipline cases to courts or to juvenile authorities. Entries should include a description of the offense or offenses, the ethnic designation and sex of the student, the school attended, and the disposition of the case.

For the purposes of these records, ethnic designation should include these groups:

American Indian - Persons considered by themselves, by the school, or by the community to be of American Indian origin.

Black American - Persons considered by themselves, by the school, or by the community to be Black or of African or Negro origin.

Asian American - Persons considered by themselves, by the school, or by the community to be of Chinese, Japanese, or other Asian origin.

Spanish Surnamed American - Persons considered by themselves, by the school, or by the community to be of Mexican, Puerto Rican, Central-American, Cuban, Latin-American, or other Spanish origin.

Other - All individuals not included in the foregoing categories.

This Office appreciates the cooperation of the Chief State School Officer in advising their constituent school systems of these requirements under law. As a supplementary action to advise constituent school systems of these record-keeping requirements, this Office will provide local education agencies with a copy of this memorandum. Questions regarding the keeping of records on student disciplinary action should be addressed to:

Dr. Lloyd R. Henderson, Director
Elementary and Secondary Education Division
Office for Civil Rights
Department of Health, Education, and Welfare
Washington, D.C. 20201
Telephone: Area Code 202 245-6118

Martin Gerry

Martin H. Gerry
Acting Director
Office for Civil Rights

BALDWIN COUNTY
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Asst. Supt. for Instruction

P.O. BOX 649 MILLEDGEVILLE, GEORGIA 31061 TELEPHONE (912) 452-3723 or (912) 452-2017

April 25, 1977

Mrs. Marie Eldridge, Administrator
National Center for Education Statistics
ATTN: Manager, Information Acquisition, Planning, and Utilization
Room 3001
400 Maryland Avenue, S. W.
Washington, D. C. 20202

Dear Mrs. Eldridge:

Please let it be understood by all concerned that the efforts on our part in submitting to the Department of Health, Education and Welfare/Office of Education/Office of Civil Rights, forms 101 and 102 were time consuming and costly.

Time:

Survey Days: Jan. 20, 1977 to Feb. 3, 1977	15
Number of Staff assigned to survey	36
Man Hours devoted exclusively to OCR Survey	506
Student Instructional Hours Lost	16,200

Cost:

Staff Cost	$2,746
Cost taken away from Instructional Program	2,026
Cost beyond Normal Work Day	720
Travel: 400 miles @ 12¢/mile	48
Total Cost to LEA	$5,540

More importantly, since the LEA's per pupil expenditure is $833.34 or $1.31/hour, the cost can be expressed thusly:

Student Instruction Hours lost: 16,200 hours x $1.31/hour = $21,222.00

The items on the survey seem to be "Census" data. Yet, the Bureau of Census ruled LEA's ineligible for "Revenue Sharing" by their definition of "Other Units of Local Government".

You people in Washington should get together and when you desire information, please provide the necessary support funds to assemble the data.

BOARD MEMBERS

James R. Davis Mary T. Dennis James C. Hogan, Sr. James E. Lee Thomas A. Noles

Mrs. Marie Eldridge, Administrator
April 25, 1977
Page 2

With sufficient support, our local welfare and unemployment roles could have been reduced by temporarily placing them on employment roles that could totally sustain them.

Our senior citizens and handicapped citizens could have performed these survey tasks.

Loss of instruction time is forever lost and this should never be permitted to happen again.

Help us when you need help.

Respectfully yours,

D. I. Spears, Superintendent

cc: Senator Herman Talmadge
Senator Sam Nunn
Representative Billy Evans
→ Chief State School Officer Jack P. Nix

Dalton Public Schools
P. O. Box 1408
Dalton, Georgia 30720

APR 27 1977

Copy -
Bateman

April 25, 1977

Mrs. Marie Eldridge, Administrator
National Center for Education Statistics
ATTN: Manager, Information Acquisition, Planning,
and Utilization
Room 3001
400 Maryland Avenue SW
Washington, DC 20202

Dear Mrs. Eldridge,

I should like to make several statements relative to OCR 101 and 102 forms of the U. S. Office of Civil Rights and the change of intentions for the 1978-79 school year.

First, I should like to state that no one has any intention of withholding information and the information needed to enforce any federal regulation could be obtained on a short notice.

The forms received by this office during the 1976-77 school year measure one and three-fourth inches. Since the Dalton Public Schools is a relatively small system, I can't imagine the magnitude of the forms for a large system. The time to complete these forms was taken from the day of over-burdened administrators. It is estimated that the central office staff consummed approximately sixteen hours and the school administrators consumed approximately twenty-four hours completing and re-checking these forms. This is valuable time that could be utilized in the educational process.

It was reassuring that someone was listening to the plea of school administrators when the past director of the Office of Civil Rights stated that this information would not be collected again until the 1978-79 school year. It is my hope that the present director can re-evaluate the immediate course of action and find some way to monitor without drowning us in paper work and forms.

Thank you for any consideration given to this matter.

Sincerely,

Robert D. Cox
Superintendent

Copis: Dr. Jack Nix ✓
Senator Sam Nunn
Senator Herman Talmadge
Larry McDonald-Congressman 7th District
Ed Jenkins-Congressman 9th District

FEB 8 1977

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FULTON COUNTY BOARD OF EDUCATION

EDWARD E. BAKER, SUPERINTENDENT
786 CLEVELAND AVENUE, S. W.
ATLANTA, GEORGIA 30315

February 7, 1977

Dear Friend:

As a follow-up to our letter to you on December 15, 1976, I am enclosing a set of the forms previously referred to, which must be completed for each of the 79 schools in the Fulton County School System, and a graphic illustration of the nearly impossible situation we face.

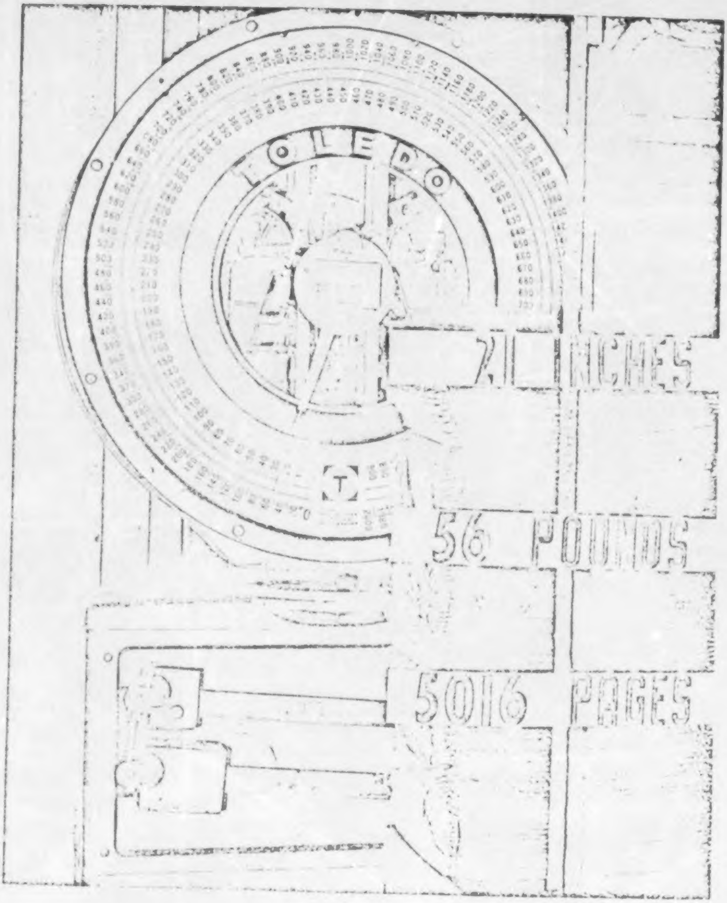
This letter is being sent to Dr. Jack Nix, Representative John Flynt, and Mr. M. Gerry of the OCR, as was the December letter. In addition, I have written to Mr. Bert Lance of the Office of Management and Budget to solicit his assistance in this effort to cut down on the mountain of paper work we are required to handle.

We appreciate your careful attention to our very real concerns.

Sincerely,

E. E. Baker

E. E. Baker, Superintendent


TOLEDO
21 INCHES
56 POUNDS
5016 PAGES

Chairman **Perkins**. Thank you very much.

Mr. Levitas, a couple of questions.

Yesterday several suggestions were made to cut back on paperwork. One of them was to do away with the detailed annual applications for Title I and other large ongoing programs and, instead, to have a three-year application or some other multiyear application.

Do you have any views on that type of recommendation?

Mr. **Levitas**. I think that would be a very constructive move, Mr. Chairman, because in most instances, what we see as the same application being submitted and reconstituted year after year with only minor modifications. I think it would give the state and local school systems the opportunity effectively to use these funds by having in advance the three-year lead time to know where they are going to be spending this money in the future. So I think it would not only reduce the paperwork involved, but it would permit the funds to be used more wisely.

Chairman **Perkins**. Another suggestion made yesterday had to do with the requests to the school districts from many different agencies.

In the Education Amendments of 1976 we charged the National Center for Education Statistics with cutting back on duplicate requests. But yesterday they told us they disapproved only five percent of the requests for data made by the Office of Education.

Do you believe that the National Center has done enough to cut back on duplicate requests?

Mr. **Levitas**. Apparently not.

Chairman **Perkins**. I will commence with Mr. Weiss.

Mr. **Weiss**. Thank you.

I have no questions other than to say it is an extremely well-stated presentation.

Mr. **Kildee**. I reiterate Mr. Weiss's statement.

Chairman **Perkins**. Mr. Heftel.

Mr. **Heftel**. I should like to take a possible step further in our consideration.

Should the Federal Government go to a block grant system of assisting education, in which it eliminates duplicate programs, eliminates multiple forms and different filings and records for Federal purposes, which states objectives and standards in which the Board of Education, the Superintendent of Education all file under oath a statement that they have conformed with and met the standards established. Notwithstanding this degree of imperfection, since we will have it in any system regardless of which one we use, we would at least then know that every dollar of Federal funds, with very little exception, went directly to the schoolroom, to the teacher and to the students, and thus eliminate any loss of funds for anything in between on the theory that the only thing of value we do is in the classroom with the child and the teacher?

Mr. **Levitas**. Mr. Heftel, that is a very attractive proposal to me, because I am dismayed that so often we appropriate, thinking we are appropriating money to help education and that does not happen except when you come in contact with the child. So much of it is drained off in the process.

The only reservation that I would have—and it is a mild reservation—is, there are certain priorities which I feel the Congress has the right to expect states to fulfill; aid to handicapped, problems in the gifted or exceptional child area. I would want to be certain that these needs were being fulfilled, but it could be done through a block grant or a semiblock grant with stated criteria, with oversight and evaluation subsequently to see that these goals were being met and that this was done.

So often the money that we think we are spending to help educate children is not being spent to educate children at all, it is being spent to hire more people in the State Department of Education to fill out more forms and does not get down to the child.

Mr. HEFTEL. It seems to have reached the point where school principals may or may not, any longer, really administer the operation of the school as it relates to the pupils but, rather, as it relates to the mandates of Federal forms and Federal systems which must be maintained. These divert the principal from working with, for instance, teachers and students.

Mr. LEVITAS. Yes. I would imagine it will not be long before seminaries and education schools around the country will have a series of courses in how to fill out Federal forms and perhaps you can get a joint degree as an educator and a lawyer at the same time, especially-designed programs.

With the increase in the specificity in the regulations, I do not see how a school superintendent or school principal who is tryng to run a school or a school system can spend so much time trying to read all the Federal forms coming out and the regulations and guidelines, and still bring about quality education in that system.

Mr. HEFTEL. Also, we have increased measurably the number of gross dollars applied for the education of our children and yet, we do find the amount of information that is being transmitted, and the ability of the child to reveal the assimilation and understanding of this knowledge, is not necessarily progressing. In fact, it may even be regressing. So that we have a system which is not producing better-informed people out of the school system, even though more money is being spent for that objective.

I think we are going to have to look at what we do with each dollar at the Federal level in terms of what it is being used for and whether or not it is dissipating itself. All those desirable objectives, the handicapped, disadvantaged, minority groups, all of this can be done with dollars and affidavits and intent.

To the extent it is not being done now, it probably still will not be done under a different system, because the paperwork does not adequately produce this perfect system we keep envisioning, and we add more paperwork and more administrative people and seemingly do not reach those stated goals.

Mr. LEVITAS. I quite agree with you.

Mr. HEFTEL. Thank you.

Mr. LEVITAS. One example, in the case of handicapped children of course, and we all are concerned about their special needs being met, there has to be under the Federal law a special report kept on every individual who is being educated in that program.

Now it would seem to me that nobody is going to read the reports of every individual here at the Federal level. Surely you can save a great amount of paperwork even in that simple program, to go to a sampling system to see whether there is compliance, maybe take two or three systems out of a state of two or three schools within a system, rather than having this great mass of paperwork coming up in carload lots that nobody is ever going to look at.

Mr. **HEFTEL**. You cannot afford to hire enough people to read the reports with meaning, so that you are self-defeating. You cannot afford to adequately use the information you are getting, which is one of the things we fail to look at.

Mr. **LEVITAS**. I completely agree, completely.

Mr. **HEFTEL**. Thank you.

Thank you, Mr. Chairman.

Chairman **PERKINS**. Thank you, Mr. Heftel.

Mr. **RADCLIFFE**. I have no questions.

Mr. Buchanan had to go but he expressed his appreciation for your testimony.

Chairman **PERKINS**. Let me thank you, Congressman Levitas. You have helped the committee very much and we appreciate your coming here.

We appreciate the representative of Dr. Nix here this morning. Give my best wishes to your school superintendent in Georgia.

Thank you all.

Next we have a panel: Mr. Ivan Gluckman, Legal and Legislative Counsel, National Association of Secondary School; Mr. Paul Smith, Research Director of the Children's Defense Fund; and Ms. Phyllis McClure, NAACP Legal Defense Fund.

All three of you come around. We will have a panel here before we resort to questioning this morning because we are going to have a lot of votes on the floor. If you can come around, Mr. Smith, and you too, Ms. McClure, and take a seat, we will withhold our questions until we hear from all of you.

You go right ahead, Mr. Gluckman. Without objection all the prepared statements will be inserted in the record and you proceed in any manner you prefer, Mr. Gluckman, at this point. Go ahead

STATEMENTS OF IVAN GLUCKMAN, LEGAL AND LEGISLATIVE COUNSEL, NATIONAL ASSOCIATION OF SECONDARY SCHOOL PRINCIPALS; PAUL SMITH, RESEARCH DIRECTOR, CHILDREN'S DEFENSE FUND; AND MS. PHYLLIS McCLURE, NAACP LEGAL DEFENSE FUND

Mr. **GLUCKMAN**. Thank you very much, Chairman Perkins.

Mr. Chairman and gentlemen of the committee, we are pleased to be able to be here today to express the views of the National Association of Secondary School Principals on this important issue of paperwork in the administration of Federal programs in the field of elementary and secondary education.

We know our suggestions will receive very careful consideration, as they always have here. Congressman Perkins, under your leadership we have always known you will find every possible way to improve these programs.

First, if I may say a word about our organization, the NASSP is a professional association of some 35,000 members, made up primarily of principals, assistant principals, and other building administrators of middle, junior and senior high schools throughout the United States and Canada. Through its many publications, research services, and training programs, our organization is a major source of current information about, and leadership in, secondary education and its administration.

While the NASSP is also greatly concerned with the professional status and welfare of principals and other building administrators, our more central concern is with the quality of secondary education itself and the 20 milion youth served by our schools.'

That is why we are here today. Our members are not usually the direct aplicants for, nor the direct recipients of, financial assistance under Federal education programs. They are instead the people on education's firing line who must administer the programs at the local level and make them work. For this reason, we believe that our members have a rare vantage point from which to observe the operation and effect of Federal education programs. The report we bring you today is based directly on those front line observations.

I certainly appreciate the knowledge of those first-hand experiences which Mr. Heftel indicated in his questions. I think the point you made about the principal having to find himself more and more occupied as a person in charge of filling out forms, actually personally filling out forms, is certainly accurate and that is a large burden of our message today.

Let me tell you a brief anecdote if I may.

Within the last couple of months or so I was visiting a school and I went to see a principal. I came into the office and asked for him. I was told he could see no one. I said well, I have an appointment, I am from out of town, counsel to our national association. After I identified myself they said okay. They rang him. He of course had me come in. I found him back in the conference room that they have for teacher meetings and he was sitting at a large table like this, piled with papers.

I said, what is going on here that you could not see anybody. He said, I cannot see anybody. I have to get these forms prepared, OCR forms. I said, do you not have that done by a clerk? He said, no, I really cannot entrust this kind of work to a clerk. He said, it is too important that we get this done accurately. So he felt he had to do it himself.

I do not support the fact that he was unwilling, by closeting himself, to see teachers or parents or students, but unfortunately that is the effect. There are only so many hours in the day.

Let me say one thing briefly if I may before we get to the actual talk about paperwork. I was pleased at Congressman Levitas' striking this point.

One of the most frequent pleas to reach our ears is for greater coordination and simplification of Federal education programs. In these respects the complaints and suggestions of our members are very similar to those pointed out by the staff of the Commission on Federal Paperwork in its recent report. We think it was an excellent report. We trust that its recommendations for improvement have already been presented to the subcommittee, and we hope that they will be heeded.

There can certainly be no reason why the simple improvements in management controls suggested in the commission's report cannot and should not be implemented. A single source of definitions and report formats to eliminate tedious duplication in data-gathering and form-filling would in itself be a great leap forward. Mandatory provision of adequate time to establish a data collection system at the local level would seem to be another very simple step which could do much to avoid enormous crash-project efforts in the schools of our Nation.

We would go further than the commission in pursuing its objectives. Last year the NASSP had the pleasure of presenting to this subcommittee its reasons for supporting a proposed consolidation of Federal education grant programs that was just raised. In so doing our Executive Director Owen B. Kiernan said this about the process of seeking education grants or other financial aid:

"The experience of our members, of other administrators, and of many students of the process of Federal domestic aid programs leads them to believe that the process can be greatly simplified and reduced in cost without any loss in program effectiveness. Indeed, the very savings in time and money expended in controlling Federal education funds should make more funds available for the attainment of program objectives, at no extra cost."

This was our primary reason for offering our support to the grant consolidation idea. Unfortunately, it became a partisan issue, and the NASSP had to stand almost alone in support of this common sense proposal among organizations professing their concern with American education. We stood alone among education groups.

Mr. HEFTEL. Not to interrupt you, but we will be running back and forth from the House floor. I would like to ask you a question at this point.

You say you are substantially alone in this concern, and I assume there seems to be a number of organizations who are resisting your suggestions for simplification of reduction of paperwork.

Mr. GLUCKMAN. No. I am sorry. Speaking solely about grant consolidation, last year when we considered that, we seemed to be the only administrative organization that actually supported grant consolidation..

Mr. HEFTEL. Is this because each of the separate groups did not want to lose their separate identity? What was the motivation?

Mr. GLUCKMAN. There are specialized education groups where I think that is a very strong factor. I would not want to point at any of them. Many of them are organized along specific program lines. Our organization is not. These are a couple of other organizations. Even though we were disappointed, we did not take a strong stand in support of consolidation because apparently it became a rather partisan issue. Some of them did not want to be identified in any partisan way. We felt it was unfortunate.

Although the Administration had presented it, I notice President Carter, when he was campaigning, supported very similar kinds of proposals, we would hope it will be reconsidered and not be on a partisan basis.

Mr. **Heftel**. I think the reason I am concerned with what you are saying is that the organized groups within the field of education would separately resist the concept of block revenue in the sense that the sum of money comes from the Federal Government to the district. They then implement the programs and use the money, as opposed to going through these different separate sources to finally get to the school or the district.

Mr. **Gluckman**. I think the moneys tend to come anyway through the state and local districts in bulk, but the way they are presently considered and legislated separately through different separate programs has caused certain organizations and groups to develop rather specialized interest in those funds and processes. That is why they are somewhat fearful of seeing it put together for distribution.

Mr. **Heftel**. You do anticipate, if there was a serious proposal to change the method of allocating funds from the Federal level to the school districts, that the special interest groups within the field of education would resist it if they lost their identity and their direct allocation?

Mr. **Gluckman**. I think there would be an initial resistance. There was last year and in a couple of previous years. I would hope that could be overcome. It is just a natural fearfulness they have, but I think it could be overcome.

Mr. **Heftel**. It would be interesting to have an analysis from your group as to how this might be accomplished because, obviously, if you have a lot of partisan resistance, the elected leadership will back off from getting into a fight with its constituency.

Mr. **Gluckman**. We will see if we can prepare something like that, have someone who is knowledgeable prepare something and submit it to the subcommittee.

Mr. **Heftel**. Thank you very much.

Mr. **Gluckman**. Thank you.

We believe that the need to get the most out of our education dollars is too important to bow to partisanship, and President Ford's statement on this subject to our 60th National Convention in 1976 is still worth heeding:

"Each of these (Federal) programs was initiated to meet the goal of improved educational opportunities for a particular segment of our population. But the result of adding program on top of program has been a maze of complex and often confusing Federal guidelines and requirements . . . We have unwittingly created a heavy burden of varying regulations, differing standards, and overlapping responsibilities. Too often we ask whether Federal forms have been properly filled out, not whether children are properly educated . . .".

So we would again like to suggest that the subcommittee consider, as a part of its effort to reduce paperwork, the possibility of grant consolidation. Few actions the Congress might take could do more to reduce the paperwork burden.

Before making any further suggestions, it is appropriate to take a few moments to explain just what we really mean by the paperwork burden.

Mr. Levitas gave one example of his experience in Georgia. To take one example, the Paperwork Commission reports that OCR conducted a pre-test of its 101 and 102 survey forms and reported average completion times of 5.75 and 6 hours each, respectively.

For the 16,000 school districts and 40,000 schools assumed to be directly involved, the resulting paperwork burden was anticipated to be approximately 150,000 working hours. The commission's report suggests, however, that this estimate was low because the sample districts in which the surveys were tested did not include school districts with enrollments of 25,000 or more.

Information from our own members indicates that even the commission's estimates may be low, however.

Greenville County, South Carolina, for example, carefullY monitored the time spent by its staff in completing the OCR forms. The time spent on the local school forms varied with size, type, and location of school, but for a typical elementary school ranged from 7 to 10 hours; for a typical high school, the time required was from 20 to 25 hours.

The district's summary required some 175 hours. While the district concedes that the time required would be less the second time around, it maintains that a reasonable average for filling out the 102 form would be 10 hours per school, or nearly twice the estimate of the OCR.

The district level form (the 101) is more difficult to estimate because it so obviously depends on the size of the district. Greenville County spent an average of 1.75 hours per location making sure that proper site data were supplied. Even if this were reduced to one hour on subsequent filings, it would still total 100 hours for the district. For an average-sized district, Greenville estimates the time needed to complete the 101 at 20 to 25 hours, after the first experience. This is about three times the estimate released by OCR.

More importantly, it must be emphasized that we are not talking here about clerical time, we are talking about the time of principals, assistant principals, and other administrative personnel, whose time is extremely limited.

Finally, even the Paperwork Commission's estimate of the total time involved in filling out OCR's surveys is low because it was based on only 40,000 schools, the number located in the 3500-odd districts identified as having large numbers of minority students enrolled. From reports coming to our office, many other schools were surveyed, including some with percentages of minority enrollment as low as two percent. If two-thirds of the Nation's 90,000 public schools were surveyed, and Greenville County's estimates are applied, we arrive at some truly staggering numbers. Perhaps you could find that out from the Office of Civil Rights. I know they, nevertheless, were sent the 102 forms, some of those schools.

The summary that we reached, for the 102 forms: 600,000 hours at the local school level and perhaps another 20,000 to summarize at the district level.

For the 101 forms: 320,000 to 400,000 hours.

Grand total: 1 million hours of costly and rare administrative time for this one survey alone. We could go on to evaluate this time in dollars, but this is probably the least measure of the cost. The greater loss must be in the supervision and adminstration needed to assure a good education for our children.

As noted by the Commission on Paperwork, the cumulative effect of the paper burden is more insidious. It not only deprives the schools of needed administrative time, it slowly sours the attitude of the administrator towards his work. More than a few who have taken early retirement have prominently mentioned the ever-growing mountain of red tape and paperwork as a precipitating factor in their decisions.

We would like to make one further point before concluding.

The Commission on Paperwork and other technicians have done an excellent job in analyzing the forms and procedures dictated by governmental requirements, but we would suggest that a thorough attempt to reduce unnecessary administrative burdens requires a broader approach directed to the substance, purpose, and effectiveness of many of the requirements, as well as the forms and operating procedures they direct.

Certainly, there must be some controls on the use of Federal education funds, and there is room for argument on just how detailed those controls should be, but it would seem that the appropriate objective should be that amount of regulation which is the minimum necessary to insure substantial conformity with Federal law. In making these decisions Federal administrators should bear in mind the intent of Congress in passing these laws. Federal financial asistance was intended to help states and localities to improve eduation.

Some recent critics of the Office of Education, whom I think you will be hearing from, seem to have forgotten that, and speak of the Office as if it were a regulatory commission. Perhaps some of the employees of the office have also made this mistake. Any finance control scheme which creates obstacles to the direct purposes of the program itself must be viewed as inappropriate.

Even the administration of those laws which have a regulatory aspect, such as Title VI and Title IX, however, might well be reviewed from this point of view. We believe that all too often administrators in charge of enforcing such laws have taken the easy route of requiring paper to be submitted rather than addressing the harder task of finding means which achieve the real purpose of the law.

Let me add that we have no disagreement with the purpose of Title VI or Title IX as they were enacted by Congress. We are fully in favor of seeing those purposes carried out.

Unfortunately, once the focus of the administrators comes to rest on forms, most of their concern centers on whether they are filled out properly, completely, and in the proper number of copies. But what actually happens after that?

It has been estimated, for example, that if all schools and colleges had followed instructions accompanying the self-evaluation form for Title IX compliance, OCR would have been inundated with more than 13 million sheets of paper. Would all of this have ever been read and analyzed? As Congressman Heftel indicated before, that seems very doubtful. But if it had been, let us carry it one step further:

After the many months necessary for processing the paper—analyzing, coding, programming the computers for sorting and classifying—all this after the months needed to secure authority for hiring the inevitable staff needed, what would be the result? All too often, according to civil rights groups themselves, very litle enforcement of the law.

The NASSP would like strongly to urge that the Congress require the executive branch to find simpler and more efective means of enforcing the law—even those portions which have regulatory purposes. The certification-documentation model is not the only one available.

Discrimination on the basis of race, national origin, or sex is wrong and illegal, but so is driving a motor vehicle at an excessive speed. But speed laws are not enforced by requiring all mostorists to submit records documenting their trip times and mileage from which speculative analyses may be made as to their rate of speed. Speeders are, instead, caught in the act and prosecuted. Much discrimination has been eliminated in America in recent years in the same way, by finding specific acts of discrimination and prosecuting them.

This seems a far more reasonble, direct, and effective means of law enforcement than the present system. It may be that other models of law enforcemnt are still more appropriate: the complaint-oriented approach of a consumer agency, the field inspection approach of some agencies enforcing fair employment practices. Our point is only that other methods are available and should be explored. The sampling technique method mentioned by Congressman Levitas is a case in point.

Last year on "Meet the Press", Governor Dukakis of Massachusetts was asked why he believed that Federal Government efforts to solve social problems had not been more effective over the past 15 years. In partial response he made a very important statement; he said:

"One of the problems has been that there has been so much Federal involvement in so many of the details of so many programs, without the kind of attention to major issues of compelling national importance, that we have tended to get all balled up in a large massive Federal bureaucracy, and we hve failed to solve the problems of unemployment and health care and other things at the national level which clearly have to be the responsibility of the national government."

We think the governor may have given an important clue to solving the problem of excessive paperwork and ineffective achievement of national legislative purposes.

The Federal Government as a whole must lift its eyes from the trees if it is to deal adequately with forest management.

Where controls on educational assistance programs are necessary, they should be designed to have the minimum adverse impact in time and money required by those being assisted consonant with the need to see that the funds are not used in an illegal manner. Every form prepared for dissemination of State or local agencies should be subjected to an administration impact test.

Even where the function is truly a regulatory one, the enforcing agency should be enjoined by the Congress to find those methods which are most cost-effective, not those which are the easiest for Federal administrators to apply.

Finally, open communication between representatives of Federal agencies and all those affected by their operations—recipients of grant funds and those who administer them, as well as the ultimate beneficiaries of the programs, in this case the children in our schools—should be maintained in order to improve program efficiency and eliminate waste of money and effort.

Thank you for affording us the opportunity of expressing our views and concerns on this important subject to you this morning.

Chairman Perkins. Let me say, Mr. Gluckman, I understand you have to leave at 11 a.m., but before you do, I would like to give Mr. Smith and Ms. McClure an opportunity to respond to your statements, and in turn give you a chance to also comment before they make their statements.

If you care to respond to his statement, briefly, you go ahead, Ms. McClure.

Ms. McClure. Thank you. I am Phyllis McClure, of the NAACP Division of Legal Information and Community Service.

Much of my response to Mr. Gluckman is contained in my statement, which I will deliver at the appropriate time.

Mr. Perkins. Without objection, all your prepared statements will be inserted in the record.

[The information referred to follows:]

STATEMENT OF PHYLLIS MCCLURE

DIVISION OF LEGAL INFORMATION
AND
COMMUNITY SERVICE
NAACP LEGAL DEFENSE AND EDUCATIONAL FUND

BEFORE

THE SUBCOMMITTEE ON ELEMENTARY, SECONDARY, AND
VOCATIONAL EDUCATION

COMMITTEE ON EDUCATION AND LABOR
HOUSE OF REPRESENTATIVES

MAY 26, 1977

Mr. Chairman and Members of the Subcommittee:

Thank you for inviting me to testify on the subject of federal collection of data in education. My name is Phyllis McClure, and I work for the Division of Legal Information and Community Service of the NAACP Legal Defense Fund. Over the last decade this Division has devoted considerable efforts to monitoring the Department of Health, Education and Welfare's administration and enforcement of statutes that impact black communities in this country. We have been most active in monitoring Title VI of the Civil Rights Act of 1964, Title I of the Elementary and Secondary Education Act of 1965, the Emergency School Aid Act of 1972, and the Vocational Education Amendments of 1976. HEW enforcement of these statutes depends on the collection of accurate data in a systematic, regular, and meaningful manner. The Division has pressed for improved data collection procedures and stronger enforcement. I can attest to the fact that data are an invaluable tool for civil rights compliance and program and fiscal accountability.

In the current paperwork debate over data collection, duplication, lead time and excessive burden, there are several important issues which have been submerged. It is those issues which I propose to raise.

Perhaps the most important undiscussed issue is why data are collected. The information collected by HEW is assailed as esoteric, wasteful, meaningless, trivial, and astronomical in quantity. Virtually no attention is paid to the reasons and purposes for collecting data. In our measurement oriented society, Congress legitimately wants to know how federal money is being spent, whether programs are working or not, whether the intended beneficiaries of federal law are receiving the statutory protection to which they are entitled. Data are a means of establishing accountability. Where data are non-existent or inadequate there can be no accountability for taxpayers d[illegible] or for the rights of children.

State agencies, higher education institutions, and l[illegible]ool districts are in effect, federal contractors and subcontractors. As such they are required to maintain and report various types of statistical information because they are public institutions receiving federal financial assistance in order to deliver certain educational services. They, as well as individuals, must act within the law. Educational institutions are asked to fill out many forms, but they do not complain nearly as much about the forms required to obtain federal funds as they do about data collection for civil rights purposes. The Office for Civil Rights's 101 and 102 survey forms have become the bête noire of the federal paperwork controversy. The school districts that are required to submit those forms are also the districts that are entitled to receive federal funds under Impact Aid. The annual Impact Aid application requires school administrators to identify students whose parents live and/or work on each federal installation within the district. In order to receive their Impact Aid money, local officials must send questionaires home with the children asking where the parents work or live. Parents often perceive these forms as an unwarranted intrusion in their private lives, but responses are demanded nonetheless because the school system wants, indeed depends on, the money that each child brings into the school district's coffers. Strangely enough, we never hear any arguments about excessive burden, duplication, or lead time concerning the annual Impact Aid Application.

I would be the last to defend the mindless collection of statistics, useless questions, or absurd duplication of forms. In my view, the data that HEW now collects are the minimum necessary to implement adequately the statutes for which it has responsibility. Beneath the surface of the controversy over federal paperwork lurks hostility to federal civil rights enforcement and accountability for the taxpayers' money. School systems are indeed reluctant to broadcast evidence of non-compliance and unsuccessful programs. As the American School Board Journal said in its February 1977 edition, "[S]chool boards are being asked to turn over information that may later be used against them."

Data required by the Office for Civil Rights and by the Office of Education have a reason and purpose. Let me enumerate some of them.

1. Program and fiscal accountability must be maintained so that the effectiveness and legality of programs may be judged, not just by the federal government, but also by state and local educational agencies. The comparability requirements of Title I of the Elementary and Secondary Education Act are a prime example. When Title I was enacted in 1965 there was no requirement that local districts report on their school-

by-school expenditures of non-federal money. But Congress and the Office of Education found out that the effectiveness of Title I expenditures was being undermined by widespread supplanting. Title I funds could never be compensatory and supplementary if they were being used to buy educational services for Title I eligible children that were regularly provided from the local budget for non-Title I children. The Office of Education, backed by Congress, therefore had to demand evidence that Title I target schools were receiving roughly comparable funding per-pupil to that provided in non-Title I schools.

2. Data from the OCR 101 and 102 are used to allocate discretionary funds under the Emergency School Aid Act. Proposals for such grants are rated on points based on the extent of racial isolation and the proportion of bilingual children in the total enrollment. The most common ESAA grants to private, non-profit groups are awarded to projects dealing with student discipline and student "pushout" problems. The only source of information on the extent of racial isolation and student suspensions and expulsions by race is the OCR 101 and 102.

3. Statistics required by the Office for Civil Rights are not in and of themselves proof of discrimination. OCR must have such information in order to determine enforcement priorities, to manage its staff resources wisely, and to establish a data base in areas where Congress has given it new statutory responsibilities. Without the data reported on the OCR 101 and 102, OCR would not know where to conduct compliance reviews, how to evaluate the validity of complaints, or how to allocate resources among its various responsibilities.

4. The Department of Justice's Civil Rights Division makes use of data collected by the Office for Civil Rights when it has to determine whether or not to bring law suits against school systems. Section 405 of Title IV of the Civil Rights Act of 1964 empowers the Attorney General to bring civil actions upon receipt of a complaint alleging denial of equal protection of the laws. How is the Justice Department supposed to determine whether in fact a complaint warrants action unless it can refer to an authoritative source of data?

5. Data also serve the purpose of keeping Congress informed on the progress, or lack of it, toward accomplishing public policy goals which are embodied in the education and civil rights legislation of the last 13 years. Data enable Congressional Committees to fulfill their oversight responsibilities. Of all the hearings this Subcommittee has held over the years, three recent hearings illustrate the extent to which federally collected data have proved useful.

   .. During the 1975 hearings on Vocational and Occupational Education, the Commissioner of Education reported on allotments, expenditures, administrative costs, expension of area vocational schools, and program completion rates based upon statistical information which state departments of vocational education report to the Office of Education annually.

   .. During consideration of amendments to the vocational education legislation in 1975, this Subcommittee held hearings on Sex Discrimination and Sex Stereotyping. The Bureau of Occupational and Adult Education which administers the Vocational Education Act did not have relevant data. But the Office for Civil Rights did because it conducted a survey of area vocational schools in 1974 which contained data on enrollment by race and sex in all vocational programs.

   .. In the same year, this Subcommittee held hearings on Student Suspensions. Survey data from the OCR 101 and 102 revealed that a disproportionate number of minority students nationwide were being suspended and expelled. These data were extremely useful in explaining to this Subcommittee why OCR had to devote attention to this potentially discriminatory device.

6. Federally collected data are frequently the only source of reliable information on certain subjects which are debated in public forums. For example, research on school desegregation and white flight has depended almost exclusively on historical racial enrollment data collected by the OCR 101 and 102 survey since 1968. Title I comparability data are the only source of information of school-by-school per-pupil expenditures. Prior to the comparability requirements,

school districts only knew the average per-pupil costs of education.

7. Federally collected data serve another, often overlooked, purpose -- as a management tool for educational administrators. The prevailing opinion is that all educators complain about the burden of reporting data to federal agencies. That is not so. The chief state school officer of one of the largest states admitted at a Office of Management and Budget hearing on OCR discipline record-keeping requirements that he did not know of the substantial suspension rates in some districts in his state until the Children's Defense Fund published OCR 101 and 102 data in Children Out of School in America. He ordered his staff to verify the statistics and examine the causes of suspensions. I have been told privately by two state higher education officials that the data required by OCR of states which are dismantling dual systems of postsecondary education have been exceedingly useful in establishing better management controls and have taught them more about individual institutions then they ever knew before.

The existence of objective and reliable data, therefore, is useful at all levels for compliance purposes and for improved program management. Yet the furor over paperwork continues unabated. One of the most specious arguments currently being used against federally required data collection is that it requires excessive time that would otherwise be spent on educating children. The fact is that in most schools statistics are routinely collected by school secretaries who also fill in the forms. And even when the time of teachers and principals is required it constitutes a very small percentage of the total work hours in a school year.

The Report on the Pretest of the Office for Civil Rights Fall 1976 Survey Instruments revealed that the average completion time for the 101 form was five and three-quarter hours and the average completion time for the 102 was six hours. The 102 form is an individual school campus report. Assume that a school required to complete the 102 is staffed by ten people, one principal and nine teachers, and that each school day is eight hours long. That represents 80 person-hours each school day. Multiply 80 person-hours times 180 days in a school year, and the sum total is 14,440 hours. Six hours in that context is hardly taking time away from education.

The Commission on Federal Paperwork's Staff Report on Education uses these average completion times in an attempt to document the burden created by the OCR forms. The Report estimates a median completion time of 150,000 person-hours based on 40,000 schools in 16,000 school districts. But the Commission fails to place that estimate in a logical context. What percentage does the median completion time for the OCR survey represent of the total number of person-hours in those 40,000 schools?

Much improved coordination within the Department of Health, Education and Welfare and between the Department and other federal agencies would go a long way toward rationalizing data collection generally and toward meeting multiple compliance requirements. There is evidence that some coordination has already taken place. The 1976 HEGIS (Higher Education General Information Survey) form for employees of postsecondary institutions is an Equal Employment Opportunity Commission form even though HEGIS is conducted by the National Center for Educational Statistics. Greater use of one form to serve different compliance requirements is all to the good, but the coordination of data acquisition mandated by the Educational Amendments of 1976 must not be allowed to hamper federal civil rights enforcement or local, state, and federal accountability to Congress for expenditure of public funds.

The solution to problems associated with federal data collection requirements does not lie in the creation of one super agency, as the Commission on Federal Paperwork recommends. A single federal agency for equal opportunity and civil rights record-keeping, reporting and compliance in education will not by itself reduce paperwork. Local and state agencies and colleges and universities would still have to report statistics to the National Center for Educational Statistics and to the various program bureaus in the Office of Education. Overlapping data requirements occur most frequently where there is one responsible agency but little or no internal coordination. The answer to better management of data collection lies, I think, in improved coordination and clearance procedures within HEW. There is no reason why data acquisition for civil rights purposes and for program needs could not be meshed as long as no vital information is sacrificed.

Finally, the Office for Civil Rights must improve its procedures for the systematic collection and use of data. OCR must cease its vacillation about the submission of data. It must strengthen, not weaken, its reporting requirements. It must enforce sanctions against states or districts that do not submit survey forms. OCR has a strong obligation to explain to those who fill out the forms why the data are being collected and what use will be made of them. Survey findings must be aggregated and issued promptly as an essential tool for both internal policy and resource planning and for public and Congressional review. State and local administrators should be provided with technical assistance if they need help in understanding or completing forms. OCR should consider establishing a special telephone number, perhaps toll-free, which school officials could call for prompt answers to their questions. Above all, Congress should provide the Office for Civil Rights with the financial resources it needs to insure that its data collection is sufficient to enable it to perform its compliance tasks.

TESTIMONY OF MARIAN WRIGHT EDELMAN
DIRECTOR, CHILDREN'S DEFENSE FUND
ON PAPERWORK PROBLEMS IN ELEMENTARY AND SECONDARY EDUCATION PROGRAMS
HEARING OF THE HOUSE COMMITTEE ON EDUCATION AND LABOR
SUBCOMMITTEE ON ELEMENTARY, SECONDARY AND VOCATIONAL EDUCATION

May 26, 1977

Chairman Perkins and Members of the Subcommittee: I am Marian Wright Edelman and I am here today, thanks to your invitation, to testify on behalf of the Children's Defense Fund of the Washington Research Project, Inc. (CDF), a nonprofit national organization created in 1973 to provide long-range and systematic advocacy for our nation's children.

Responsible public policy concerning American families and children requires the responsible collection of information concerning their condition and needs. In recent years, however, federal data collection requirements have come under increasing scrutiny and resistance as those who seek better policies ask for better, and sometimes more, information.

The Elementary and Secondary School Civil Rights Survey, (hereafter Civil Rights Survey), begun in 1966 and conducted annually by HEW's Office for Civil Rights since 1968 and biennially since 1974, is the cornerstone upon which federal enforcement of children's civil rights in public schools is based and the key national source of data concerning children in the educational process. As OCR's responsibilities have expanded, this Survey has become the object of particularly pointed attacks by school officials who claim that its requirements are unduly burdensome.

Because of our broader interest in federal data collection systems generally, and because of the Survey's special importance, CDF staff decided to examine in detail the present controversy over the 1976-77 school year Survey. In the course of our investigation, we discovered that the criticism of it was in many cases ill-considered and ill-informed. We also found that few persons inside or outside the federal government really understood what the Survey was, its purpose, how it had developed, why it is central to the enforcement of civil rights laws in public schools, and what the real issues in the present controversy are.

We are preparing a monograph on these and other issues related to the Civil Rights Survey which will be available shortly. I hope the Subcommittee will grant my request to accept a copy of our report into your record. I would like now to present a summary of our main findings.

I have attached to my statement today (Attachment A) a copy of a special case study that we conducted in conjunction with our report comparing the Office for Civil Rights Survey forms to all regularly required federal reports, to all common federal project applications and project activity summaries, and to all state reports in Massachusetts. We think the Subcommittee might be interested in some findings from our comparisons.

There are only five federal reports (as opposed to project applications and voluntary surveys) required of all individual schools or school districts directly by the federal government each year. Since the Civil Rights Survey is neither annual nor required of every school or district, it is not among them. Those five reports total 14 pages of statistical data. Two pages request information on the racial and ethnic composition of school faculty collected by the Equal Employment Opportunity Commission. The remaining 12 pages request financial statistics collected for the Department of Commerce and HEW's National Center for Educational Statistics (NCES). Among these 14 pages, there is not a single page of data requested on the school children in the United States.

Five reports; 14 pages of data; no data on the children in public school programs: that is the paperwork burden that is supposedly crippling instruction in our school systems. Obviously something must explain the present public outcry from school officials. I would like to try to offer you part of the answer to that paradox. But to explain that answer, I will have to recapitulate a bit of recent history, of which this Subcommittee is uniquely aware.

Beginning in the late 1960's and culminating in the Education Amendments of 1976, there has been a continuing process of alternating protests from school officials about the amount of federal educational reports followed by increasingly specific directions to HEW to have NCES coordinate and consolidate the collection of educational data. Concurrently, under Presidents Nixon and Ford, the executive branch instituted broad paperwork control mechanisms, primarily in the Office of Management and Budget (OMB). President Ford, in particular, set OMB the task of keeping track of the number of hours persons spend filling out federal reports.

That is the key point: the executive branch monitored only the number of hours spent filling out federal forms. During the past eight years, first the Office of Education (OE) and then NCES, have been uniquely successful in reducing the number of hours spent filling out federal reports. The largest part of that reduction was brought about by replacing the forms that used to be sent to individual schools and districts with a single form asking for the data from the state as a whole. Thus NCES need "count" only the hours a state official spends transcribing the state totals.

School officials in individual districts still had to fill out reports in order to supply the data to state officials. However, since the forms they sent to the states were state forms, the time did not count toward the federal "red tape burden" on the public schools. The result can be seen in our Massachusetts data. One state report has grown to 112 pages in length. Others are over a dozen pages long.

This is a simple shell game. It is of no value to either the federal government or to the states. But it does have one consequence that is especially harmful. Federal monitoring of programs funded directly or indirectly with federal monies and located in individual schools is drastically constrained. OE does not have direct access to the data contained in a school district's reports on ESEA Title I or Vocational Education or even basic enrollment and attendance figures. No federal agency, including the Office for Civil Rights, can collate the available data prepared by an individual school district into a single data file.

Perhaps an analogy will help make clear what a drastic change has occurred over the last eight years. Suppose we imagined that exactly the same policy was used to eliminate all the millions of hours used to fill out the individual income tax form, the 1040. All that the IRS would have to do is to turn over the collection of income taxes to the state, and accept the 50 state returns on taxes collected each year. Of course individual taxpayers would have to fill out the same number of pages for the same number of hours annually, but they would not be filling out a federal form. In reality all that would have changed is that federal assurance of equity and accountability in federal tax collections would have been lost.

That is exactly what has happened with educational data collection. The same officials are filling out the same (or nearly the same) data on state forms, but federal assurance of equity and accountability has essentially been lost over the majority of the educational categorical aid programs -- like ESEA, Vocational Education, and, soon, the Education for All Handicapped Children Act.

It should be clear why the Civil Rights Survey forms are at the center of most present criticism of federal reporting requirements. Congress has not turned over enforcement of the civil rights laws to the states. We do not yet have block-grant justice for school children where injustice against, for example, black children in one district can be cancelled out by injustice against white children on the other side of a state. The Civil Rights Survey, which the vast majority of school districts have to complete at most every second year (and then need supply only the limited district totals requested on the school district summary form (OS/CR-101)), still identifies individual school districts, and places that information in the hands of both the federal government and the general public.

There is a widespread dislike of such public scrutiny on the part of school administrators and school boards. I have attached (Attachment B) an article excerpted from the February 1977 issue of the American School Board Journal. I would like to call your attention to the fact that the issue as stated in this article is not the difficulty of reporting the requested data. The issue, as stated, is precisely that school officials do not want that data in the hands of either the federal government or the American people.

As the National School Boards Association's assistant executive director for federal relations complains:

> OCR does not explain precisely how it intends to use the information contained in the forms. Nor does it indicate the statistical criteria by which it would deem a school district to warrant further investigation or to be considered out of compliance.

We taxpayers are also aware that IRS does not publish precisely what statistical criteria are applied to select an individual tax return for audit. This is because the nature of compliance monitoring -- whether the monitoring be of federal income tax or civil rights laws -- does not permit the publication of the statistical tests employed to select returns for audit. But what is relevant to your work today is that the concern expressed in the article is clearly not about needless data. The concern is that the data may in fact be of direct and effective use in enforcing compliance with federal laws.

Another quotation from the same article makes an important related point:

> Furthermore, a recent law enacted by Congress permits courts to award attorney fees to groups or individuals that win certain kinds of lawsuits. So the prospect seems to be that the federal government will gather information from school districts, make the information a matter of public record, and spawn the creation of a new breed of ambulance chaser - the unscrupulous lawyer who will comb through the information in search of anything that looks like a violation of federal law in order to weave a lawsuit in behalf of an alleged victim of school board discrimination. And if the lawyer wins in behalf of his client, the school board can be ordered to pay attorney fees along with damages.

I am one of those "unscrupulous" lawyers who has spent my life suing school boards on behalf of the victims of real (not simply "alleged") discrimination -- and we do, indeed, win in court. The reason we win is that school boards do discriminate in violation of federal law. The quotation above contains the most brazen public statement of an attitude that I have often encountered in private: school boards must be immune to the law even if they are guilty of breaching that law; and the best means of securing permanent immunity from federal law is to withhold all information from the public.

We do not think that school boards should have a "sporting" chance, because we think that discrimination by school boards on the basis of race, national origin, language facility, sex, and handicapping condition are "sports" that must no longer be played with federal dollars. We think that Congress shares this view, and that Congress has embodied its determination to end such "sports" in exactly the laws whose potentially effective enforcement under the new administration is causing such distress presently among school officials. We think the attack on the Civil Rights Survey is an attack on the intent of Congress in passing the non-discrimination legislation of the past decade and a half.

Therefore, CDF examined closely school officials' opposition to the Civil Rights Survey. Since this singular data collection effort attracts much of the total criticism launched against federal reporting requirements in general, we think it particularly relevant to state the facts about the Survey and put into perspective the current debate surrounding its conduct.

We compared the OCR 101 and 102 survey forms to 11 federal reports, 10 federal program applications and activity summaries, and 9 Massachusetts state reports, looking for either duplication or what we might call "burdensomeness." It is important to note that a report cannot be both burdensome and duplicative at the same time. If a report is duplicative, it can be answered merely by transcribing the data from the other report with similar contents -- that may be irritating, but not burdensome. If a report is burdensome, it must be because it calls for data that otherwise would never be collected in any related form. The reason that we stress this contrast is that charges against federal data collection activities often confuse the two terms. Of course a report can be neither burdensome nor duplicative if it requests data never garnered elsewhere but data which can nevertheless be derived as a simple byproduct of other data-gathering activities that must be conducted in any case.

Our findings are striking. No data array of pupil statistics (which we will hereafter call a "question") asked on the OCR forms was ever duplicated on any other federal report. Only three of the 36 questions on both OCR forms combined were identical to any on federal project applications or activity summaries, and those were identical by design. OCR also reviews Emergency School Assistance Act (ESAA) applications, and that application uses data that can be taken directly from the survey forms if the district were required to file them. Since not all districts that apply for ESAA have to file survey forms each year, and not all districts that file survey forms apply for ESAA grants, the data is needed in both instances. The only other exact duplication is between the OCR survey and the proposed state report for the Education for All Handicapped Children Act (EHA) funds (where the statutory provisions of P.L. 94-142 which govern the proposed application slightly overlap with the provisions of Section 504 of the Rehabilitation Act of 1973 which OCR must enforce). Since the EHA report is a report of state totals only, while OCR must monitor Section 504 at the district level, there is no real duplication at all.

Only three questions (of the 36) from the Civil Rights Survey were identical to any questions on any state report. All three were concerned with the rights of handicapped students and resulted from the strong Massachusetts special education law (Massachusetts General Laws, Chapter 766). Since, of course, the Civil Rights Survey covers all fifty states it will produce such occasional duplications where strong state non-discrimination laws exist and where some state enforcement occurs. What is striking is that so little duplication occurs with state forms -- perhaps that provides a rough measure of the general strength of state non-discrimination enforcement in education. Our study clearly shows that these charges of duplication are exaggerated.

The burdensomeness of the OCR survey is a separate question. OMB statistics on reporting burden do not allow for the fact that a respondant may determine how burdensome a form is merely by refusing to integrate the required data with regular reporting operations. In general, one would not expect a respondent to deliberately increase reporting burden by refusing to integrate data collection efforts into an efficient system of reporting. But civil rights issues are very much a special case. If a school fails to record otherwise regularly collected data by race, national origin, sex, and handicapping condition it can turn completing the Civil Rights Survey into a tremendously time-consuming project.

But it need not be so. We found that of the 36 questions on both the OCR survey forms together only 8 were totally unrelated to data collected somewhere on the 30 forms we analyzed. We use the word "related" to indicate that a counting or record extraction process occurs for one form that could have answered the other form's questions, although it need not do so unless school officials so choose. Usually, exactly the same group of children was counted for some non-OCR federal or state form, but the categorization of the children by race or sex or handicapping condition was omitted. Obviously the cost to a school district of adding the relevant compliance categorization to existing reports is infintesimal in a properly designed pupil accounting system.

Our study concludes that the charge that the OCR survey is burdensome is largely the result of the nearly total absence of any established non-discrimination features built into schools' recordkeeping systems. This situation is most easily remedied by having the Office for Civil Rights promulgate the long-deferred recordkeeping regulations binding upon public schools that are federal contractors. It is, indeed, inexcusable that while federal reports are required from schools on the non-discrimination provisions of federal law, the necessary recordkeeping requirements have never been formally spelled out by OCR. We have called for the release of the recordkeeping regulations in the past, and we repeat that call now.

A second major charge placed against the Civil Rights Survey is school officials' contention that they did not receive proper notice of the 1976-77 Survey. But a detailed chronology of events beginning in Fall 1975 shows otherwise. I will not relate this history in detail now, but I would like to submit the appropriate documentation for the record.

The chronology shows that agents of the Council of Chief State School Officers (CCSSO) had continuous notice of plans for the 1976-77 Survey, and in fact helped shape those plans for more than a year before the Survey was officially announced and the final forms mailed to local school districts. Nothing prevented the school chiefs from notifying SEAs and LEAs of what reporting requirements would be present -- well in advance of Fall 1976.

The chronology also shows that, despite their unprecedented involvement in developing it, CSSO's opposition to the 1976-77 Survey actually increased, rather than decreased, between Fall 1975 and Winter 1977. Even major changes made by OCR in accordance with their recommendations did not obviate this opposition, ostensibly because the revisions did not "sufficiently address" the school chiefs' "concerns." And since that was their perception, in November 1976 some CSSOs began openly counselling non-compliance with Survey requirements. While they had not been able to help local school districts prepare for the 1976-77 civil rights data collection by notifying them in advance of what they knew was going to be required, CSSOs and others seemingly had no problem advising LEAs of various "concerns" they might have regarding the Survey, such as "the lack of appropriate lead time."

Our study does conclude that there is a major problem in coordinating federal-state cooperation in data collection, and that problem does relate to the lead time for important surveys. We strongly suggest that Congress should make the development of every major educational data collection effort a two-stage process. The first stage should identify the general areas of information to be collected and the general design of the survey sample from which data would be requested. Clearance of the purpose, scope, and size of the survey would then be sought from the Education Data Acquisition Council (EDAC) and OMB. The second stage should develop the detailed questions to be used. The questions should address only the approved purpose and scope of the survey and only in light of published recordkeeping regulations in order to assure that the data needed to answer the questions were available.

Such a system would prevent potential respondents from using non-preparation to report as a tool with which to manipulate the clearance processess to illegitimate ends. The result of the present system is that a local school superintendent receives a federal survey without advance notice, despite the fact that the state's chief school officer has had copies of the form for months.

We also identified a number of related findings in the course of our research that may be of use to this Subcommittee. I will not take the time to present these now, but I would like to have them included in the record of the hearing.

Summary

While CDF would be among the first to state that the federal government's data collection and analysis programs have often suffered from inefficiency, ineptness, and even insensitivity, we believe that these failures of the executive branch should be corrected rather than be allowed to undermine the national responsibility to insure that federal dollars are not being spent by institutions which discriminate, in violation of federal civil rights laws. Efficiency requires not only the elimination of time-consuming data requests, it also requires the timely and thorough implementation of a federal data collection system that insures the uniform enforcement of federal laws on behalf of all American children.

The school district is the legally accountable agency for public education. Parents have a right to know what happens in their school district; the state average does not tell them about their children. The Civil Rights Survey remains the only federal source of information on individual school districts that any parent, anywhere in the nation, can use to find out about what goes on in the public school district where his or her children attend school. It is therefore an extraordinary paradox that in the furor over the Survey, its opponents have overlooked the fact that -- except for the Civil Rights Survey -- less information about individual school districts is available at the federal level today than at any time in the last ten years.

We believe that public accountability for public monies is an important mandate that must be weighed against cries of inconvenience or burden by those entrusted to administer it for the benefit of others: in this case, children and parents. School officials who are doing their jobs well or who want more help so they can do them better have nothing to fear from sharing data with the federal government and the public. Indeed, it may be a useful way for them to seek the added help they need to meet the increasing demands on schools to serve a variety of children and to better meet their needs.

That states and localities have refused to take the necessary steps to amass the necessary data so that they themselves, as well as the public, can see how well schools are carrying out their charge to the nation's young, can no longer be tolerated. No excuse should undercut the national interest in ensuring that minority, handicapped, bilingual, and female children are provided an education on the same basis as other children. It is in this spirit of mutual interest that the federal government, state and local education officials, and the public must approach the Civil Rights Survey, and all data collection responsibilities.

ATTACHMENT A

A Comparison of the Civil Rights Survey Forms to Other Federal and Massachusetts State Forms Completed By Individual Schools, School Districts, or State Educational Agencies Reporting on the Basis of Returns From Individual Schools or School Districts.

There are two distinct and contradictory charges placed against the OCR School Civil Rights Survey Forms:

(1) They are duplicative in that other federal or state forms collect the same data items;

(2) They are burdensome in that they require extensive data collection efforts that would otherwise not be undertaken by schools.

CDF conducted a small study in order to discover the factual support for these charges. We collected a set of standard federal forms (from all federal agencies asking data relating to public schools operations, including the National Center for Educational Statistics, The Office for Education, the Bureau of the Census, and the Equal Employment Opportunity Commission). We also collected a set of the standard Massachusetts Department of Education Forms. We then compared each data element or breakdown of data elements* into race and/or sex categories that appeared on either the OCR OS/CR-101 (the School District Summary) or the OCR/CR-102 (The Individual School Report) to each of the data elements or breakdowns appearing on the other Federal or Massachusetts forms. This section reports the results of our comparisons.

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* We will refer to these data arrays as "questions" hereafter. By question we mean a single set of related entries for which a single information gathering process (such as a records review, a classroom visual survey or a class schedule assignment computer program) could supply all the answers required. Our definition does not match the question numbering scheme used on the printed 101 and 102 forms, which often groups individual entry blanks differently.

Federal and State Forms Selected for the Comparison:

Only recurrent forms submitted on a regular schedule were included in the comparison. Surveys taken only a single time for research and/or a specific reporting requirement were eliminated. Forms prepared by private agencies (for example, the National Education Association or the Massachusetts Association of School Business Officials) were eliminated. No forms routinely prepared for the individual school districts' School Committees or town governments (such as school budgets or monthly expenditures and fund balance reports) were included, since these varied too greatly among districts. Certain nearly universal forms prepared in the course of local school operations but never submitted to any state or federal agency (such as insurance valuation documents, independent auditors' reports, and school system telephone directories) were also eliminated. Forms prepared at the request or order of either the legislative or judicial branches of either state or federal governments, but not passing through any executive branch agency (these include legislative committee surveys, legislative agency audit reports, and court ordered reports and plans prepared as part of judicial proceedings) were not included.

Forms were included if they were regularly and recurrently submitted to an executive agency of either the federal or Massachusetts governments and contained information derived from local schools or school districts. Forms were included even if not prepared by local school districts so long as the information they required ultimately had to come from local school district records and responses. Thus certain forms prepared by the State Department of Education in Massachusetts and submitted to federal agencies were included, even though no local school district official ever saw them, since they contained information ultimately drawn from reports submitted to the state by local school officials. The corresponding local reports to the state were also included. As a result, certain federal request for information about local school operations made of the state government (the NCES ELSEGIS documents are the most extreme example) produce two separate forms in our comparison, since both the federal form sent to the state and the state form sent to the local districts appear in out lists.

One of the most difficult decisions that we had to make was choosing among the many federal program applications and project activity summaries. The difficulty is that there are so many federal programs which might give a grant to a school district or a state (and thus require an application and sometimes an annual program activity report) that including them all would add several hundred forms to our list. Since very few of the many federal programs would in fact collect data from more than a handful of school districts in any one state (many are for demonstration or categorical grants with very limited participation), and since most of the forms would have very little overlap with the OCR forms because the projects they fund do not require the counting of all the school children in a school district, we included only a selection of federal applications and activity reports. We included only those federal programs that were both widely distributed among school districts and provided direct services to children that were instructional in character.

The federal programs that were included were all those funded under:

Elementary and Secondary Education Act (ESEA)
Emergency School Assistance Act (ESAA)
School Assistance in Federally Affected Areas (SAFA)
Education of the Handicapped Act (EHA)
Comprehensive Employment and Training Act (CETA)
Vocational Education Act (Voc Ed)

The SAFA program is better known as impact aid, and will be referred to under that name. The reasons for the omission of other well-known federal programs might be of interest.

Follow Through (P.L. 88-352) is applied for and reported upon as if it were a component of Title I ESEA, and thus does not have a separate set of forms. School lunch and milk programs were excluded because they do not produce educational services, although they do produce counts of school children. The National Defense Education Act (Title III, Equipment) and the Education Professions Development Act are related to instruction but do not require counts of children. The Johnson-O'Malley Act (Indian educational programs under P.L. 74-638) is not widely applicable in Massachusetts, but would be much more important in the West and Southwest: It does contain some data on American Indian children on its application. Law Enforcement Assistance Administration Justice and Delinquency Prevention grants to states and special emphasis areas have occasionally reached school districts but not frequently enough to be included. The many project grants for special topics (Ethnic Heritage Studies, Drug Abuse Education, Civil Rights Technical Assistance and Training, Handicapped Early Childhood Assistance, Right to Read, Educational Opportunity Centers, Career Education, Bilingual Vocational Training, Community Education, Women's Educational Equity, and a host of others) were all too infrequent to be included, even though individual applications and required reports from projects included a few data that were related to OCR topics.

Most such programs have no standard statistical items required from all applicants. The inclusion of such applications would just produce additional instances of non-duplication of the OCR data.

All state applications and required special program reports were included.

All federal required recurrent reports (not applications or special grant activity summaries) from any agency were included.

What Comparisons Were Made?

All the questions on the OCR OS/CR-101's and OS/CR-102's (hereafter 101's and 102's) except those numbered 1 through 4 on the forms (questions 1 through 4 identify the school district, the individual schools, and the responding school officer) were compared to every question on the other form.

The results of a comparison was a categorization of the pair of questions as identical, related or unrelated.

Identical: Two questions were considered to be identical if the information used to answer one of the questions could also have been used to answer the other. We did not require the questions to be worded the same, nor to ask for data in an identical format (for example, a count of persons and a percentage of a given total of persons were considered identical if one could be produced from the other arithmetically). Further, questions were considered identical even if they asked for data at different levels of aggregation. For example, if one form asked for data from an individual school, while the other asked for data (of an identical kind) but totaled for the whole of a school district or even for a state, they were considered to be identical. The reason is that the process that answered the more aggregate question necessarily procuded the answer to the less aggregate question, whether or not that answer was recorded.

Two questions were not considered identical if they might or might not be answered by identical information. That is, if the required answers might sometimes be the same depending upon special circumstances (such as all the children in a school being participants in the Title I (ESEA) program at that school), the questions were not treated as identical. However, if the OCR form could necessarily be answered from the comparison form's data, but the comparison form asked additional information or a finer breakdown of a count, the forms were considered to be identical, for that question, since the non-OCR form duplicated the OCR form.

Related: Two questions were considered to be related if they were not identical, but if the process that produced the answer to one of them could have also answered but did not do so. For example, a count of the enrollment in a school's vocational education programs was considered to be related to a count by race and sex of the same programs.

Questions that used slightly different definitions (for example, children whose home language was other than English versus children whose dominant language was other than English) were considered to be related rather than identical. Questions that asked for counts from slightly different groups of children (for example, from all students in vocational education versus only certain specific vocational programs) were considered related, with two exceptions: counts of the total enrollment of a school were not considered to be related to counts of specific subgroups of students (such as those suspended or in special education), and counts of the total number of teachers or employees in a school were not considered related to counts of specific teacher assignments (such as teachers of the handicapped). The reason for these exceptions is that total counts of enrollment and employment are often maintained by schools by methods that are not easily adapted to provide finer breakdowns.

Questions were considered related even if they were asked of different levels of aggregation, so long as they meet the previous definition of relatedness. For example, a school total would be considered to be related to a state total, if, in the process of preparing the state total, the corresponding school total had to be prepared, even if it was not reported.

The importance of related questions is that they indicate that an information generating process is occurring that could be easily modified to produce the answer to either question. The most common occurrence was when the non-OCR form asked for counts of the same children as the OCR form requested, but the non-OCR form did not ask for those totals to be taken separately by race and sex, while the OCR form did.

Unrelated: When two questions were neither identical nor related, they were categorized as unrelated. It is quite possible that an "unrelated" pair of questions might be answered by a process that could be easily modified to produce the answer to either, but we had no way of knowing that. For example, a count of school dropouts required on an ESEA Title I Application might have been taken by door-to-door methods that could have also identified the number of handicapped children not currently enrolled in school but resident in a school's attendance area, and eligible for attendance there - however, we could not know that the door-to-door method was used, and we do know that the most commonly used method of counting dropouts (disenrollment records kept in the school office) does not reach to unenrolled children.

Report of Results by Form Counts:

The total number of individual forms compared to the OCR forms was 30. There were 9 state forms, of which one was a program application. There were 21 federal forms, of which 10 were program applications or project activity summaries. Table 1 shows the general result of the comparisons between these 30 forms and the 101's and 102's. The list of the forms compared is given in Appendix A.

Table 1 offers a very strict comparison. A form is counted in the identical columns if a single question on the form is idenrical to an OCR form question. Only five of the 30 forms have any identical questions, and none of them had more than two questions that exactly matched the OCR forms.

The following conclusions are rather striking:

> No federal report (as opposed to a project application or project activity summary) duplicates identically even a single question from either the 101 or the 102.
>
> Only federal program applications (the ESAA and the EHA) did have at least one question that was identical to a question on the 101 and 102. This is not surprising in that the ESAA application was designed to match the OCR forms, since OCR has monitoring responsibilities over ESAA projects, and the EHA is a federal program funded in part to help states meet their obligations under section 504 of the Rehabilitation Act of 1973 over which OCR has monitoring responsibilities.
>
> Three Massachusetts state reports have at least one question identically matching an OCR question. In every case the question was a question about special education programs, and results from the strong state law (Mass. G.L., Chapter 766) prohibiting discrimination against the handicapped.

Table 1

Count of the number of Federal Reports, Federal Applications and Project Reports, and Massachusetts State Forms that Matched the 101's and 102's on One or More Questions.

Type of Form	Entirely Unrelated to 101 and 102	With at least one question that was:		Total
		Related, but never identical to 101 and/or 102	Identical to 101 and/or 102	
Federal Report	8	3	0	11
Federal Program1/	3	5	2	10
Mass. Report	4	2	3	9
Total	15	10	5	30

1/ Project Applications or project activity summaries.

> Fully half the forms reviewed had at least one question that was either related or identical to an OCR question, where the term "related" implies that a process of data collection occured that *might* have answered the OCR question easily.

In general, while half the forms reviewed were totally unrelated to the OCR forms, the other forms were related; yet not a single Federal *report* had even a single identical question to either the 101 or the 102, and all the identical questions shared with either federal project applications or the state reports exist either because of design or because of an active state compliance law similar to the national law OCR enforces. The charge of "duplication" is not particularly credible.

Report of Results by Question Counts:

In order to examine whether the OCR forms are burdensome as opposed to duplicative - we must look at our data in another way. There are 19 "questions" on the 101 and 17 "questions" on the 102. By questions we mean single set of related entries for which a single process would supply all the data needed. That is, a question is not a single space on the form, but an array of data element positions all of such definition as to require only a single counting process to answer simultaneously. For example, a "breakdown" of enrollment by race is considered a single question, rather than five separate questions. On the other hand, two blanks asking for handicapped child counts, but one asking for a count of resident children and the other asking for a count of out-of-district tuition students are considered different questions, even though they appear within the same question number on the OCR form (the 101, in this case). The reason they are considered separate questions is that a separate process is likely to be used to answer them.

Table 2 gives the breakdowns for the 19 questions on the 101 and the 17 questions on the 102 (as defined above) by whether or not there were ever identical or, if never identical, then related questions on any of the groups of forms.

Only five of the 19 questions on the 101 and one of the 17 questions on the 102 were identical with any questions on any of the thirty comparison forms. But only six questions on the 101 and only two questions on the 102 were totally unrelated to all the other forms. That is, out of the 36 questions on both OCR forms taken together, only eight (less than a quarter of the total) were not producable as by-products from the other data collection activities that most local school districts engage in. If we look only at federal reports (not applications) however, only five of the 36 questions could emerge as by-products. The data generating activities that could be used to produce the OCR information are typically those required either for application for federal grants or for regular state reporting.

Table 2

The Number of Questions on the 101's and 102's For Which There Were Ever Identical Questions, or, If Never Identical, Then Related Questions on Any Comparison Form, By Type of Form.

Comparison Status of Questions	Questions Found Identical, Related, or Unrelated When Compared to All Questions Found on:				
	Federal Reports	Federal Projects	Any Federal Form	Mass. Reports	Any Federal or State Form
101 Questions					
Identical	0	2	2	3	5
Related, but not identical	1	8	8	8	8
Unrelated	18	9	9	8	6
Total	19	19	19	19	19
102 Questions					
Identical	0	1	1	0	1
Related, but not identical	4	10	13	12	14
Unrelated	13	6	3	5	2
Total	17	17	17	17	17

This is not particularly surprising in that OCR alone is monitoring compliance with federal law, except where federal operating agencies have statutory responsibility for the specifics of a federal grant.

It is worth noting which questions were totally unrelated to all 30 forms. (The question-by-form matrix can be seen in Appendix B). The six questions on the 101 that were not related to any other data collection process were those asking about court orders, consolidation of school districts, student discipline, and three questions about handicapped children not in regular school programs. Only the student discipline question required race and sex breakdowns. The two questions on the 102 form that were not related to any other form were those relating to architectural barriers and to student discipline. Again, only the student discipline breakdown required reporting by race and sex. It is reasonably obvious, therefore, why the student discipline breakdowns have been the focus of criticism of the OCR forms. They are the only topics for which a local school system need not have an existing data collection system because of other non-OCR reporting requirements.

The conclusions drawn from Table 2 are:

> Only six of the 36 questions on the 101 and 102 are identical to questions on any other form, and none of the 36 are identical to questions on any federal report.

> But only six of the 19 questions on the 101, and only two of the 17 questions on the 102 are related to the data collection processes required by at least one other form, although 31 or the 36 are unrelated to the data collection processes required by other federal reports.

Clearly, the burdensomeness of the OCR reporting requirements are not necessarily high, if a school district chooses to adapt the data collection procedures used to fill out state reports and federal grant applications to also produce the related OCR data. Although ESAA regulations require non-discrimination in student discipline, there is no other federal or (in Massachusetts) state report or application which requires some reporting on student discipline. (Such reporting incidentally occurs on some applications - particularly those for LEAA Juvenile Justice and Delinquency Prevention grants in the narrative or needs assessment portions - but it is not required anywhere, and the applications in which it appears are infrequent and excluded from this study). With the single exception of that breakdown, the Title VI protion of the OCR effort is clearly a burden only if a school district chooses to make it so. A few handicapped counts are also unrelated to all current reporting requirements on non-OCR agencies, but they are not likely to remain so once the Education of the Handicapped Act has funded schools to locate all their handicapped children and remove architectural barriers to their access to schools. Taken as a whole, the OCR data requirements fit well into the overall data collection patterns of public schools, and should not incommode a well designed system.

School districts which propose that the OCR forms present an impossible reporting burden should have their other federal program applications and required state reports examined in detail to see if the districts have failed to construct the basic systems that would make OCR reporting relatively unburdensome.

Since the vase majority of "related" entries come about in the charts in Appendix B because a school district is asked to report on the relevant educational program categories but not on the racial, sexual, linguistic, or handicapped classifications of children in the programs being reported - thus making compliance monitoring impossible for school districts, states, and the federal government - it is unmistakeably clear that compliance reporting is a very small part of the general data production efforts of the public schools. The most pressing need is certainly not to reduce that portion still further. Rather, the other non-OCR defined forms need to be expanded in order to improve their value as information sources for compliance reviews. Since it does not cost more to report a total partitioned into compliance categories, given that a data collection process that produces the total already exists, such expansion could be carried out with little or no real increase in reporting burden.

APPENDIX A

List of Federal and State Forms

Federal Forms

Federal Reports:

OE 2350-5
National Center for Educational Statistics (NCES), HEW
Elementary and Secondary General Information System (ELSEGIS)
Fall Survey, Part I, Pupils and Staff
State level data, Some related data. Three pages. Annual.

OE 2350-11
NCES, HEW
ELSEGIS
Part A-2a, State Elementary and Secondary School Statistics
State level data. Some related data. Seven pages. Annual.

NCES, 2350-7
NCES, HEW
ELSEGIS
Fall Survey, Part 3, Schholhousing Report
State level data. Some related data. Two pages. Annual.

OE 2350-12
NCES, HEW
ELSEGIS
Part A-2b, State Elementary and Secondary School Statistics
Finance and State Education Department Operations
State level data. No related data. Fourteen pages. Annual.

OE 2350-6
NCES, HEW
ELSEGIS
Part A-2 State Fiscal Report
State level data. No related data. Two pages. Annaul.

C-700 (SL)
Bureau of the Census, Department of Commerce
Construction Project Report
School level data. No related data. Two pages. Monthly during construction of a building.

Federal Reports (continued):

F-33
Bureau of the Census, Department of Commerce
ELSEGIS
Survey of Local Government Finances, School Systems
School district level. No related data. Four pages. Annual.

E-6
Bureau of the Census, Department of Commerce
Survey of Government Employment, School Systems
District level data. No related data. Four pages. Annual.

F-42
Bureau of the Census, Department of Commerce
Survey of Local Government Finances, School Building Agencies
District level data. No related data. Four pages. Annual.

EEOC-168 (also given as EEO-5)
Equal Employment Opportunity Commission (Independent), with OCR, NCES
Elementary-Secondary Staff Information (EEO-5)
School level data. No related data. Two pages. Annual.

(no form number, no data entries required)
NCES, HEW
ELSEGIS
Directory Listing of LEA's by State
District data. No related data. No fixed length. Annual. (This is a listing of district names, addresses, and total enrollment counts produced by NCES, on which states enter recent changes).

Federal Forms:

Federal Program Applications and Project Reports:

(No form code)
Massachusetts Department of Education, Title I Office
Application for ESEA, Title I
(States now design ESEA applications, Massachusetts uses a copy of the previous Office of Education form)
District level data. Some related data. Nine pages plus narrative. Annual.

OE 116-1
Office for Education, HEW
Application for...Emergency School Aid Act
School and district level data, mixed. Some related data. Twenty six pages. Annual.

OE 4560-1, 2
Office of Education
ESEA, Title I Comparability Report
School level data. Some related data. Three pages. Annual.

OE 380-2
Office of Education
Performance Report, Title I, ESEA of 1965
State level data. Some related data. Four pages. Annual.

OE 4561
Office of Education
Application for...Bilingual Education Program, (ESEA, Title VII)
School level data. Some related data. Six pages. Annaul.

OE 346 (copies sometimes sent by state to local districts)
Office of Education
Discriptive Report of Program Activities in Vocational Education
State level data. Some related data. Twelve pages. Annual.

(no form number yet assigned, proposed form)
Office of Education
Education of the Handicapped Act Annual Program Plan Data Requirements
State level data. Some related data. Ten pages. Annual.

OE 4019
Office of Education
Application for School Assistance in Federally Affected Areas
District level data. No related data. Eleven pages. Annual.

Federal Program Applications and Project Reports (continued):

OE 345
Office of Education
Vocational Education Financial Status Report
State level data. No related data. Ten pages. Annual.

MA 5-135 and/or ETA 5-136
Employment and Training (Manpower) Administration, Dept. of Labor
CETA Program Implementation Report/Status Summary
District level data. No related data. Three pages. Annual
(Data would be related if trainees were school-aged persons).

Massachusetts State Forms:

(no number)
State Department of Education
End of Year Pupil and Financial Report - School Returns
District level data. Related data. 112 pages. Annual.

(no number)
State Department of Education
Individual School Report, October 1
School level data. Related data. Twenty pages. Annual.

(no number)
State Department of Education
School System Summary Report, October 1
District level data. Related data. Twenty-four pages. Annual.

(No number)
State Department of Education
Fall Statistical Report, October 1
District level data. Related data. Four pages. Annual.

(no number) referred to as TBE-(date)
State Department of Education
Transitional Bilingual Educational Program Application
District level data. Related data. Fourteen pages. Annual.
(This is a mandatory application).

(no number)
State Department of Education
Directory Update
School level data. No related data. One page. Annual
(A state produced computer listing of the name and address of a school).

(no number)
State Department of Education
Report on the Educational Census, January 1
District level data. No related data. Six pages. Annual.
(This report does contain a count of bilingual children out of school, and not enrolled in any school. The OCR forms have no such question.)

(no number)
State Department of Education
School Building Inventory (Update)
School level data. No related data. One page. Annual

(no number)
State Department of Education
System Directory Information (Administrative Personnel)
District level data. No related data. One page. Annual.

APPENDIX B

Charts Comparing OCR forms OS/CR-101 and OS/CR-102 to Other Federal and Massachusetts Forms, Question by Question. Only Federal or Massachusetts Forms Having at Least One Related or Identical Question are Shown on the Charts.

Chart 1: A Comparison of the 101 to Federal Forms.

Chart 2: A Comparison of the 101 to State Forms.

Chart 3: A Comparison of the 102 to Federal Forms.

Chart 4: A Comparison of the 102 to State Forms.

Key to Symbols Used on the Charts

Identical Questions: When the information on the comparison chart could be used to answer the OCR question, the questions are considered identical, even if there were slight differences in working or the format in which data was recorded. Identical questions produce data that could be submitted for the data collected by OCR.

X	A pair of identical questions, with the data given for the same level of aggregation.
X^*	A pair of identical questions, with the OCR form asking for a higher level of aggregation than the comparison form.
X_*	A pair of identical questions, with the OCR form asking for a lower level of aggregation than the comparison form.

Related Questions: When the process used to answer the comparison form's question could have also answered the OCR question, (but did not do so) the questions are related. Related questions do not produce data that can be used for OCR compliance reviews, but they could produce such data without additional burden.

O	A pair of related questions, with the data given for the same level of aggregation.
O^*	A pair of related questions, with the OCR form asking for a higher level of aggregation than the comparison form.
O_*	A pair of related questions, with the OCR form asking for a lower level of aggregation than the comparison form.
(blank)	- Unrelated questions.

Chart I 101 School System	A. OE 2350-5 ELSEGIS Pupils & Staff	B. OE 2350-11 ELSEGIS E&S Statistics	C. NCES 2350-7 ELSEGIS School housing	D. OE 116-1 ESAA App.	E. (State Version) ESEA Title I App.	F. OE 4560-1, 2 ESEA Title I Comp.	G. OE 580-2 ESEA Title I Perf.	H. OE 4561 ESEA Title VII Appl.	I. OE 346 Voc Ed Program	J. (P.L. 94-142 draft) EHA App.
5. a&b Changes in school system										
6. Court desegregation order										
7. Different course of study by sex										
8a. Count of membership by race and sex	0*		0*	X	0	0*	0*	0	0*	
8b. Voc ed enrollment, race and sex									0*	
8c. Pupils suspended by race and sex										
8d. Non-english pupils by race				0		0*	0*			
8e. ESL-Bilingual enrollment by race				0						
8f. Special ed enrollment (total) by race							0*		0*	0*
8f. 1, 2 Special ed by type, by race					0					
9. Special Ed Programs a. resident, school age requiring special ed										0*
b. residents in cooperative programs										
c. residents in other public programs										
d. residents in other private programs										0*
e. non-residents in this public program										
f. out of school because of handicap										
g. number of(f) children in homebound prog.										X*
h. children having comprehensive eval. in last school year.										

Chart 2

101 School System	AA. End of Year Pupil & Financial	BB. October 1 Individual School	CC. October 1 School System Summary	DD. October 1 Fall Statistical	EE. Transitional Bilingual Appl.					
5. a&b Changes in school system										
6. Court desegregation order										
7. Different course of study by sex										
8a. Count of membership by race and sex	0	0*	0	0						
8b. Voc ed enrollment, race and sex	0	0*								
8c. Pupils suspended by race and sex										
8d. Non-english pupils by race		0*	0		0					
8e. ESL-Bilingual enrollment by race	0				0					
8f. Special ed enrollment (total) by race	0	X*	0							
8f. 1, 2 Special ed by type, by race										
9. Special Ed Programs a. resident, school age requiring special ed	0									
b. residents in cooperative programs										
c. non-residents in other public programs	0									
d. residents in other private programs	0									
e. non-residents in this public program	X									
f. out of school because of handicap										
g. number of(f) children in homebound prog.										
h. children having comprehensive eval. in last school year	X		X							

Chart 3

102 Individual School	A. OE 2350-5 ELSEGIS Pupils & Staff	B. OE 2350-11 ELSEGIS EAS Statistics	C. NCES 2350-7 ELSEGIS Schoolhousing	D. OE 116-1 ESAA Appl.	E. (State Version) ESEA Title I Appl.	F. OE 4560-1, 2 ESEA Title I Comp.	G. OE 580-2 ESEA Title I Perf.	H. OE 4561 ESEA Title VII Appl.	I. OE 346 Voc Ed Program	J. (P.L. 94-142 draft) EHA Appl.
5. Is school exclusively handicapped?			0*							
6. Number of voc ed programs									0*	
7. Architectural barriers to the handicapped										
8,9. Count of children needing special accommodations or transportation										
10. Count of pupils transported		0*								
11,12. Count of pupils in specific academic/ vocational courses by sex							0*		0*	
13. Count of membership by race and sex		0*		0*	0	0	0*	0	0*	
14. Count of dropouts by race and sex					0					
15. Count of graduates by race and sex	0*									
16. Count of non-English speaking				0*			0*	0		
17. Count of ESL or bilingual courses				0*				0		
18. Count of discipline by race, sex & type										
19,20. Special ed by race and type				X*			0*		0*	
20. Special ed by type and sex				0*	0*		0*	0*		
20. Special ed by type and time in isolation				0*			0*		0*	
21. Special ed teacher by type									0*	

Chart 2

10. Individual School	AA. End of Year Pupil & Financial	BB. October 1 Individual School	CC. October 1 School System Summary	DD. October 1 Fall Statistical	EE. Transitional Bilingual Appl.					
5. Is school exclusively handicapped?										
6. Number of voc ed programs		0								
7. Architectural barriers to the handicapped										
8,9. Count of children needing special accommodations or transp.	0*									
10. Count of pupils transported	0*									
11,12. Count of pupils in specific academic/ vocational courses by sex	0*									
13. Count of membership by race and sex	0*	0*	0*	0*						
14. Count of dropouts by race and sex										
15. Count of graduates by race and sex	0*									
16. Count of non-English speaking		0	0*		0*					
17. Count of ESL or bilingual courses	0*				0*					
18. Count of discipline by race, sex & type										
19, 20. Special ed by race and type	0*	0								
20. Special ed by type and sex		0								
20. Special ed by type and time in insolation	0*	0	0							
21. Special ed teacher by type	0*		0*							
23. Pupil grouping by race and sex										

ATTACHMENT B

The American School Board Journal
(February 1977)

journal after the fact

They'd have you 'testify' against yourself

The battle that has been brewing between the U.S. Office of Civil Rights and the Office of Management and Budget (*Journal after the fact*, November 1976) has now spilled over into the laps of school board members and school administrators.

The argument centers on the U.S. Department of Health, Education and Welfare's latest attempt to gather information regarding school district compliance with laws pertaining to sexual and racial discrimination, treatment of handicapped students, and student discipline. Two forms for use in collecting this information are being sent by HEW to school systems—Form 101 and Form 102. Form 101 is a three-page document that will go to almost every school board in the U.S., while the longer Form 102 will be aimed at most of the nation's largest 3,500 school districts.

The furor raised by these questionnaires is not over civil rights, but instead involves the issue of federal intervention in the operation of school districts. The problem, according to the Council of Chief State School Officers and the National School Boards Association, is that while the federal government is intent on gathering this information, the government has yet to say what it will *do* with these statistics. Complains August W. Steinhilber, NSBA's assistant executive director for federal relations: "OCR does not explain precisely how it intends to use the information contained in the forms. Nor does it indicate the statistical criteria by which it would deem a school district to warrant further investigation or to be considered

or any of its authors do not necessarily reflect those of the National School Boards Association.

out of compliance." In ~~short, says Steinhilber,~~ "The forms look like a fishing expedition that can place a well-intentioned school district in jeopardy."

The nasty little twist is that school boards are being asked to turn over information that may later be used against them. Furthermore, a recent law enacted by Congress permits courts to award attorney fees to groups or individuals that win certain kinds of lawsuits. So the prospect seems to be that the federal government will gather information from school districts, make the information a matter of public record, and spawn the creation of a new breed of ambulance chaser—the unscrupulous lawyer who will comb through the information in search of anything that looks like a violation of federal law in order to weave a lawsuit in behalf of an alleged victim of school board discrimination. And if the lawyer wins in behalf of his client, the school board can be ordered to pay attorney fees along with damages.

Understandably, school people are wary. In fact, they've sent letters and telegrams to Washington, protesting the federal government's action. So far their complaints have gone unredressed. Arizona's Carolyn Warner, a former school board member and now that state's chief school officer, has refused outright to distribute the federal forms to school boards in Arizona until the President responds to school district objections. Three other states have joined Warner in the boycott, and the sentiment is rapidly spreading. In the opinion of many school people, this time the Fed has gone too far.

But this is where political realities may come into play. Jimmy Carter first came to national attention as a politician who took a harsh view of the intrusion of bureaucrats into the operation of state and local governments as well as in the lives of individual citizens. The bureaucracy can and must be controlled, he told us. But at the same time, Mr. Carter is a southern President, and a man who must carefully avoid taking any action that would indicate anything short of a full commitment to civil rights.

In the meantime, school boards and administrators are faced with three uncomfortable choices. They can: comply with the federal request, gather the information and send it to HEW by the early February deadline; collect the data requested but refuse to mail the forms; or simply ignore the government's request for information and wait—probably at their peril—to see what happens (which could be a lawsuit against them, filed by the Justice Department).

The picture was complicated the more last month when, in a parting shot, the Ford Administration turned down the request of state education officials for a year's delay in complying with the federal demand. The Administration allowed, however, that HEW is prepared to negotiate with school boards that have not kept good records of the information that Washington wants.

Things, in any case, seem headed for a showdown. The federal government, on one side of the line drawn in the dirt, is demanding that school districts spend time and money to collect data without any clear indication of how the information is to be used or why it is needed. On the other side are school people who must decide whether they will comply with the request, or ignore the questionnaires and face the possible consequences. We'll soon see who blinks first.

Chairman **Perkins**. Proceed in any manner you prefer.

STATEMENT OF MS. PHYLLIS McCLURE

Ms. **McClure**. I would be glad to respond directly to the statement that Mr. Gluckman made to the effect that so many papers are compiled under title IX and title VI and sent to the Office for Civil Rights, who could ever read them, and then he says, "All too often according to the civil rights groups, themselves, very little enforcement of the law has taken place."

That is directed to the legal defense fund. We have been one of those organizations most critical of the lack of civil rights enforcement. But I would say, Mr. Chairman, there would be no enforcement without any doubt.

STATEMENT OF PAUL SMITH

Mr. **Smith**. Thank you, Mr. Chairman. I am Paul Smith of Children's Defense Fund. I was struck by three things, and I would like to mention them briefly.

The first was the analogy offered to us as an alternative for civil rights compliance enforcement. It suggested that the alternative to a regulatory approach which depended upon forms and bureaucratic review might be that of the traffic laws. I was struck by that. If I understand the way traffic laws are enforced, they are enforced by having officials, policemen, physically present at the time when the supervised operation occurs; that is, there are traffic officers right there on the road when driving happens.

If I carried that analogy over to the enforcement of the civil rights laws, rights not only of the blacks but linguist minorities, and sex and handicapped groups, the enforcement in the public schools, acting as contractors for Federal programs, that would mean that the principal would meet as he comes to his office in the morning not a Federal form but a Federal face, and I am not sure that that analogy has been thought through, and I am not sure that its acceptability to the principals and school superintendents of America will be as popular as it might seem. That is my first point.

I think there are reasons why compliance mechanisms of a specific kind occur in different areas of government operations. I think while there is much to fault in the present civil rights enforcement strategies of the Federal Government, the idea that the basic approach is wrong, that we need traffic cops in the schools rather than Federal forms once a year, is probably wrong.

The two other points are smaller, and I offer them only because perhaps there has been confusion. One is the picture of the civil rights survey, which is, I think, at the heart of this controversy, would not quite be accurate. Let me just make a comparison. Let me go back to the strategy when only title VI, that is, the race discrimination and national origin provision of the Civil Rights Act of 1964, was enforced. This would be the period from 1968, say, through 1974.

At that time, the Office of Civil Rights had an annual survey in even-numbered years. Approximately 8,000 districts received forms.

They received both forms, the 101 for the district total, the 102 for each individual school. As a result, 80,000 forms, that is, individual school responses, were filled out, plus there are on the average 10 schools per school district in the survey.

On off years about 3,000 districts again received both kinds of forms. Now I don't think it is clear today that there has been a change. There is a new survey plan. That survey plan emerged because the responsibilities now included handicapped discrimination and sex discrimination, but it also emerged out of an attempt to reduce the paper required.

Today, in the 1976 survey and every even-numbered year thereafter under the current plan, it is true that 16,000 districts will fill out the abbreviated district totals, but only about 3,600 districts will have the school-by-school forms. The actual number of responses in the major survey years has been cut about in half.

Further, the off-year survey, the survey in odd-numbered years, has been much reduced in scope. The current extent of a 1977 survey is in doubt, but no proposal abroad today suggests that we will ever approach the size of the previous off-year surveys.

So the sense that there is some growing survey which is out of bounds is just not true. There has been a tremendous reduction of workload.

My third and final point goes to some technical matters that are constantly being broached, and I hope they are clear. One can see it in the past statements. One is told two different things. Random samples may lighten the workload. Separately, that some school districts with very low minority percentage of enrollments are filling out forms. Well, there is a connection because a random sample is used. Of course, as they broaden the responsibilities from minorities only under title VI to the new provisions of title IX in section 504, the Handicapped Act, and since handicapped children and women are distributed relatively equitably all across the Nation's schools, the new survey does take a random sample of all school districts to fill out the 102's.

The effect of that is that some school districts with very low percentages of the identified racial and national minorities will fill out the forms, but, of course, Mr. Chairman, those districts have women and have handicapped students, so that much of the criticism involves not looking at what is actually done, not recognizing previous accommodations, the need to reduce workload and not recognizing how the survey functions as an enforcement tool, and that it does contain—and it is a very complex research tool, compliance tool, in terms of its design—that it does contain many of the features that you hear recommended today.

Thank you for this opportunity.

Chairman **Perkins**. Do you have anything in response, Mr. Gluckman?

Mr. **Gluckman**. Only briefly.

Chairman **Perkins**. Just summarize it.

Mr. **Gluckman**. Yes, I think Mr. Smith and Ms. McClure present well-reasoned statements, and I think there is room for finding fine lines here where you know we might be wrong on a point, and they may be wrong on another point.

But I think the real problem is, for one thing, there are some facts here that are unknown, because I know from personal experience that we get calls from school districts, from principals in the school district, where they had very minute representation of minority groups which were apparently not supposed to receive 102 forms, but they did, and I said perhaps it is a mistake, why don't you contact the local Office of Civil Rights and ask them. The answer was, "If you got them, it was no mistake." That kind of response is not helpful. That kind of reaction just doesn't help you solve the problem.

Everyone is capable of some mistakes. I may have been certainly guilty of one, myself, on the analogy that Mr. Smith mentioned. I said there may be better methods.

I think we really have to bear in mind, though, that if you set up a method of collection of data and analysis, and if it doesn't result in enforcement, we had better look at some other method.

I did want to mention one other fact that came in after we prepared our testimony. We conduct a survey every year of our members on certain things. One of the questions is, "What are your major sources of frustration in your work?" And in 1973, state and Federal red tape as a general category was in seventh place. By 1976, it moved up to fourth place on this list, and it followed only such fundamental matters as student attendance, student discipline, and lack of time, and I would submit that lack of time might certainly be related to Federal and state red tape as frustrations. So I think it has been increasing.

I don't know if it is necessarily coming from OCR, because that was a lumped kind of thing, and that is another reason why perhaps such devices as block grants might be helpful in reducing that paperwork burden.

Ms. McClure. A couple of other things before Mr. Gluckman leaves.

I noticed in his testimony, as in the previous testimony, reference was made to the numbers of hours required to fill out Federal forms. What has struck me about this whole debate over Federal paperwork is that many of the objections to Federal paperwork are taken totally out of context, it seems to me.

In Mr. Gluckman's testimony he says, in effect, that the times on the OCR pre-test report on the OCR 101 and 102 were underestimated. The times that the OCR pre-test figured were six hours for the 102 and 5.5-3/4 hours for the 101 were the average time, the average completion time, for all the districts included in the pre-survey. What I decided to do was figure out what percentage that six hours took out of the total time that principals and teachers were involved in the total school year. What I decided to do was to take a school of 10 people, one principal, and nine teachers, and to figure out exactly what the total time involved was.

If you take the 10 people on the staff in the school and you figure that they work eight hours a day, that is 80 person-hours a day. You multiply the 80-person hours a day times 180 days in the whole school year, and you get 14,440 hours. Now, one form takes only six hours out of that 14,440. I don't see where the burden is there. That is a very, very infinitesimal proportion of the total school year involved in filling out that form.

Mr. **Gluckman**. I think it is interesting, but I don't think it is really very applicable to the real problem, because, as I mentioned, first of all the teacher time is relevant to that because the teachers are not being asked to fill out the forms. You might as well include the janitorial time and get a lower percentage. It is not relevant.

Most of it, as I said, is unfortunately administrative time so the percentage would be higher. But that is one form besides and, as was indicated by the experience in the State of Georgia, they did a study including all kinds of forms, and this is just one, of course, of a multitude.

Ms. **McClure**. Also, I could make another point, Mr. Chairman. Very often in the debate over Federal paperwork, the purposes and the reasons for collecting these data are overlooked. These data do not only serve the purpose of the Office for Civil Rights in setting enforcement priorities in deciding where to look; the statistics in and of themselves are not proof of discrimination; they simply help the Office for Civil Rights determination where they are going to put their resources depending on what the data show.

There are also many other forms filled out by schools because of funding programs. The institutions that receive Federal financial assistance for delivery of particular educational services are and should be accountable to the Federal Government for the use of the taxpayer's dollar. But the Office for Civil Rights and the Office of Education are not the only ones that use these data.

For example, this committee, itself, has called upon members of the Executive Branch to come and testify before it. For example, in the consideration of the Vocational Education Act in 1975, there was testimony by the Office of Education on a number of factors, administrative costs, program enrollments, program completions, allotments, and expenditures.

The Commissioner of Education was able to testify to you about these matters because he had collected data through the vocational education reporting system.

Another example was when this subcommittee held hearings on sex bias and sex stereotyping because of its concern to amend the Vocational Education Act. The Office of Education did not have any statistics about the enrollment of women in various vocational programs, but the Office for Civil Rights did, because it had conducted a survey in 1974 of area vocational schools, enrollment by race and sex.

Because of that special survey conducted by the Office for Civil Rights, the Federal Government was able to inform this committee as to the nature and the extent of sex bias and sex segregation in vocational education.

The Department of Justice, the Civil Rights Division, also uses the 101's and 102's. Under section 405 of title IV of the Civil Rights Act, the Attorney General is empowered to bring lawsuits if he receives a complaint of denial of equal protection of the law. How can the Justice Department evaluate the validity of complaints and decide to put the tremendous resources of the Federal Government in such a lawsuit unless it has some basic data by which it can evaluate the validity of the complaints?

The OCR 101 and 102 surveys contain data that are nowhere else available in the country, and very often they are relied upon by researchers, by journalists, by others who are involved in debates about current subjects in the public forum.

I give you one example. There has been a great deal of research in the 1970's on the issue of white flight and school desegregation. All of those researchers got their data from the 101's and 102's, and they were able to make historical comparisons because the Office for Civil Rights has been keeping that data since 1968.

So I would like to bring to your attention that the use of the forms are valuable to different parts of the Executive Branch and particularly how valuable they are in keeping Congress and this subcommittee informed as to the progress or lack of progress in implementing statutes and programs passed by Congress, and particularly the effectiveness of educational programs.

I give you another example, the title I comparability requirements.

As you know very well, Mr. Chairman, when title I was first passed, there was no requirement that school districts receiving that money had to account for school-by-school expenditures. But the Congress in the early 1970's in the Office of Education found out that the effectiveness of title I was being undermined by widespread supplanting. Congress then authorized the Office of Education to implement comparability requirements to ensure that title I funds were spent in a supplementary and compensatory manner and not to supplant state and local expenditures.

Chairman **Perkins**. Let me thank all of you. You have been very helpful to the committee, and we will continue with these hearings, and we will be calling on you from time to time.

Thank you very much.

Counsel, do you wish to ask any questions?

Mr. **Radcliffe**. No, Mr. Chairman.

Chairman **Perkins**. Mr. Heftel, did you have any questions?

Mr. **Heftel**. No, sir.

Chairman **Perkins**. Thank you. The subcommittee is adjourned.

[Whereupon, at 10:52 a.m., the subcommittee adjourned, subject to the call of the Chair.]

[Material for inclusion in the record follows:]

BILL FRENZEL
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[illegible] Park Center [illegible]
St. Louis Park [illegible]
[illegible]

May 26, 1977

The Honorable Carl D. Perkins
Chairman
Education and Labor Committee
B346-C Rayburn HOB

Dear Chairman Perkins:

I am enclosing copies of statements I received from two of the school districts of my Congressional District in Minneapolis, Minnesota.

I would appreciate it if these statements could be included in the record of hearings on the subject of "Federal Paper Work" before the Subcommittee on Elementary, Secondary and Vocational Education.

Best regards,

Bill Frenzel
Member of Congress

BF:pb

encl.

THIS STATIONERY PRINTED ON PAPER MADE WITH RECYCLED FIBERS

MAY 13, 1977

TESTIMONY OF VINCENT C. CARLSON, INDEPENDENT SCHOOL DISTRICT 281
BEFORE
THE ELEMENTARY, SECONDARY, AND VOCATIONAL EDUCATION SUB COMMITTEE,
EDUCATION AND LABOR COMMITTEE,
UNITED STATES HOUSE OF REPRESENTATIVES

MR. CHAIRPERSON AND OTHER MEMBERS OF THE SUB COMMITTEE. ON BEHALF OF INDEPENDENT SCHOOL DISTRICT 281, ROBBINSDALE, MINNESOTA AREA SCHOOLS, AND MYSELF, VINCENT CARLSON, I WOULD LIKE TO EXPRESS APPRECIATION FOR THE OPPORTUNITY TO OFFER TESTIMONY BEFORE YOUR COMMITTEE. MY POSITION WITH THE ROBBINSDALE AREA SCHOOLS IS THAT OF DIRECTOR OF RESEARCH AND COORDINATOR OF FEDERAL PROGRAMS.

ONE OF MY PRINCIPAL RESPONSIBILITIES IS THAT OF COLLECTION, SECURITY AND DISSEMENATION OF DATA -- MUCH OF IT MANDATED BY VARIOUS FEDERAL AGENCIES. AS YOUR COMMITTEE DELIBERATES AREAS OF REFORM WITH REGARD TO FEDERAL LEGISLATION AND REGULATIONS IN THE FIELD OF PUBLIC EDUCATION, I WOULD LIKE TO ADDRESS MYSELF TO THE LOCAL EFFORT INVOLVEMENT WITH FEDERAL "PAPERWORK."

I WOULD SPECIFICALLY LIKE TO REACT TO THE HEW, OFFICE OF CIVIL RIGHTS SCHOOL SYSTEM SUMMARY REPORT: FORM OS/CR 101, AS AN EXAMPLE OF THE PAPER WORK BURDEN. THE PAST YEAR THE OFFICE OF CIVIL RIGHTS REVISED ITS DATA ACQUISITION SURVEY FORM FOR PUBLIC SCHOOL DISTRICTS. A NOTICE OF THE PROPOSED CHANGE WAS PUBLISHED ON PAGE 17182 OF THE FEDERAL REGISTER OF THURSDAY, MARCH 31, 1977. PUBLICATION IN THE FEDERAL REGISTER WAS TO

COMPLY WITH THE "CONTROL OF PAPER WORK AMENDMENT." MANY FACETS OF THE SURVEY ARE NOTED IN THE FEDERAL REGISTER SUCH AS THE LEGISLATIVE AUTHORITY, METHOD OF DATA COLLECTION, NUMBER OF LOCAL AGENCIES AND MAN-HOURS INVOLVED.

THE TIME INVOLVEMENT FOR COMPLETING THE OS/CR 101, LOCAL EDUCATION AGENCY REPORT FORM, ACCORDING TO THE OFFICE OF CIVIL RIGHTS SHOULD AVERAGE APPROXIMATELY THREE (3) HOURS PER RESPONDENT. IT IS DIFFICULT TO KNOW WHAT MIGHT BE CONSIDERED AN AVERAGE SIZE SCHOOL DISTRICT, BUT DISTRICT 281, ROBBINSDALE AREA SCHOOLS, ENROLLS 23,000 PUPILS HOUSED IN 26 BUILDINGS. ON THE BASIS OF A VERY CAREFUL ESTIMATE, BY BREAKING-DOWN THE REPORT INTO ITS VARIOUS COMPONENTS AND CONSIDERING THE PERSONNEL INVOLVED, I HAVE ESTIMATED 482 MAN-HOURS OF ENDEAVOR ON THE PART OF DISTRICT 281'S STAFF MEMBERS. FOR LARGER SCHOOL DISTRICTS THE MAN-HOUR INVOLVEMENT MAY BE MANY TIMES AS MUCH.

IT MUST BE REMEMBERED THAT THE TIME INVOLVEMENT IS NOT LIMITED TO THE WORK OF A TYPIST TO PREPARE THE REPORT FOR MAILING. TO TOOL UP INTERNALLY TO COLLECT THE INFORMATION REQUESTED NECESSITATES MEETINGS WITH PRINCIPALS AND STAFF, DEVELOPMENT OF PROCEDURES, FORMS, CONTINUAL MAINTENANCE OF DATA, AGGREGATING DATA AT THE BUILDING LEVEL, AND FINALLY AGGREGATING ALL THE BUILDING DATA SO THAT A SCHOOL SYSTEM REPORT MAY BE PREPARED. MEMBERS OF THIS CONGRESSIONAL COMMITTEE, THIS IS NOT A THREE (3) HOUR TASK. IT BECOMES A MONUMENTAL EFFORT THAT DIVERTS TEACHER AND ADMINISTRATIVE TIME FROM THEIR MAIN FUNCTION, THE INSTRUCTION OF STUDENTS, TO "PAPER SHUFFLING", RECORD KEEPING, AND REPORTING -- MUCH OF IT COMPLETELY UNNECESSARY IN MY OPINION.

THE OS/CR 101 REPORTING FORM INCLUDES THE FOLLOWING FIVE (5) MAIN AREAS OF DATA COLLECTION:

1. TOTAL PUPIL MEMBERSHIP BREAK-DOWN BY SEX AND RACIAL-ETHNIC CATEGORIES.
2. TOTAL PUPIL ENROLLMENT IN VOCATIONAL EDUCATION PROGRAMS BY SEX AND RACIAL-ETHNIC CATEGORIES. PUPILS MUST BE COUNTED ONLY ONCE REGARDLESS OF THE NUMBER OF PROGRAMS THEY ARE ENROLLED IN. THIS PARTICULAR REQUIREMENT COMPLICATES RECORD KEEPING CONSIDERABLY.
3. NUMBERS OF PUPILS SUSPENDED AT LEAST ONE SCHOOL DAY DURING THE PREVIOUS SCHOOL YEAR BY SEX AND RACIAL-ETHNIC CATEGORIES. AGAIN, THE PUPIL COUNT MUST BE AN UNDUPLICATED ONE.
4. NUMBER OF PUPILS IN THE SYSTEM WHO HAVE A PRIMARY HOME LANGUAGE OTHER THAN ENGLISH, AND THE NUMBER WHO ARE ENROLLED IN ENGLISH AS A SECOND-LANGUAGE PROGRAM. THESE PUPILS MUST ALSO BE IDENTIFIED AS TO RACIAL-ETHNIC MEMBERSHIP.
5. NUMBERS OF PUPILS PARTICIPATING IN SPECIAL EDUCATION PROGRAMS. THREE (3) CATEGORIES OF THESE PUPILS MUST BE IDENTIFIED BY RACIAL-ETHNIC COUNT. EIGHT (8) OTHER BREAK-DOWNS OF SPECIAL EDUCATION PUPILS ARE BY TOTAL NUMBERS ONLY, AND ONE (1) QUESTION PERTAINS TO THE NUMBER OF FULL-TIME AND PART-TIME SPECIAL EDUCATION TEACHERS. PUPILS ENROLLED IN MORE THAN ONE OF THESE PROGRAMS MUST BE REPORTED ONLY ONCE. THIS REQUIREMENT PRESENTS A LOGISTICAL PROBLEM THAT INVOLVES CONSIDERABLE EFFORT CONSIDERING THE SCHOOL DISTRICT ENROLLS MORE THAN 1,400 PUPILS IN ONE OR MORE OF ITS SPECIAL EDUCATION PROGRAMS.

SPECIFICALLY, THE TIME REQUIREMENTS, BASED ON WHAT I WOULD CONSIDER TO BE A CONSERVATIVE ESTIMATE, ARE AS FOLLOWS:

PUPIL MEMBERSHIP:	
INDIVIDUAL SCHOOL CAMPUS EFFORT (26 SCHOOLS X 6 HOURS)	156 HOURS
DISTRICT LEVEL EFFORT	12 HOURS
VOCATIONAL EDUCATION:	
INDIVIDUAL SCHOOL CAMPUS EFFORT (3 SCHOOLS X 8 HOURS)	24 HOURS
DISTRICT LEVEL EFFORT	8 HOURS
PUPIL SUSPENSIONS:	
INDIVIDUAL SCHOOL CAMPUS EFFORT (7 SCHOOLS X 6 HOURS)	42 HOURS
DISTRICT LEVEL EFFORT	3 HOURS
PRIMARY LANGUAGE OTHER THAN ENGLISH:	
INDIVIDUAL SCHOOL CAMPUS EFFORT (26 SCHOOLS X 1 HOUR)	26 HOURS
DISTRICT LEVEL EFFORT	10 HOURS
SPECIAL EDUCATION:	
INDIVIDUAL SCHOOL CAMPUS EFFORT (26 SCHOOLS X 6 HOURS)	156 HOURS
DISTRICT LEVEL EFFORT	45 HOURS
TOTAL HOURS:	482 HOURS

FORTUNATELY, DISTRICT 281 SCHOOLS WERE NOT AMONG THE 47,000 SCHOOLS IN SELECTED LEA'S THAT WERE REQUIRED TO COMPLETE OS/CR 102, THE INDIVIDUAL SCHOOL CAMPUS REPORT. THIS WOULD LIKELY HAVE TRIPLED THE MAN-HOUR INVOLVEMENT AT THE LOCAL LEVEL.

MY TESTIMONY HAS INCLUDED COMMENT ON BUT ONE REPORTING REQUIREMENT FROM ONE FEDERAL AGENCY. THERE ARE MANY OTHER MANDATED RECORD KEEPING AND REPORTING REQUIREMENTS FROM VARIOUS OTHER AGENCIES.

BOTH PRESIDENTS FORD AND CARTER HAVE EXPRESSED CONSIDERABLE CONCERN ABOUT THE PROLIFERATION OF FEDERAL PAPER WORK. TO MY KNOWLEDGE ATTEMPTS TO MINIMIZE THE FLOW OF PAPER HAVE MET WITH COMPLETE FAILURE. THE FEDERAL BUREAUCRACY BECOMES MORE DEMANDING WITH EACH SUCCEEDING YEAR. LOCAL EDUCATION AGENCIES, FACING SEVERE FINANCIAL PROBLEMS AS MOST OF THEM ARE, ARE NOT IN A POSITION TO EMPLOY THE NECESSARY MAN POWER TO "SHUFFLE" PAPERS AS MANDATED BY THE FEDERAL BUREAUCRACY. AT A TIME WHEN EDUCATIONAL PROGRAMS ARE BEING CURTAILED AND THOUSANDS OF TEACHERS ARE BEING TERMINATED FOR LACK OF FUNDS, DOES IT NOT SEEM ABSURD TO DIVERT EVEN MORE RESOURCES TO "BEEFING UP" OFFICE STAFFS FOR PURPOSES OF COMPLYING WITH FEDERAL REPORTING REQUIREMENTS? HOW LONG WILL IT TAKE BEFORE WE COME TO OUR SENSES AND ESTABLISH SOME REALISTIC PRIORITIES?

I HONESTLY HOPE, THAT THE MEMBERS OF THIS SUB COMMITTEE, SERIOUSLY ADDRESS THEMSELVES TO WHAT MANY OF US CONSIDER TO BE ONE OF THE MOST DISCOURAGING AND FRUSTRATING PROBLEMS FACING THE SCHOOLS TODAY -- THE UNNECESSARY FLOW OF PAPER DEMANDED BY AN INSENSITIVE FEDERAL BUREAUCRACY.

I AM SINCERELY APPRECIATIVE AND GRATEFUL FOR THIS OPPORTUNITY TO TESTIFY BEFORE THIS CONGRESSIONAL COMMITTEE.

Richfield Public Schools
Independent School District No. 280
70th & Harriet Avenue • Richfield, Minnesota 55423

Bruce R. Anderson
Superintendent

Telephone (612) 861 7511

May 18, 1977

Honorable Bill Frenzel
Member of Congress
House of Representatives
Washington, D.C. 20515

Dear Bill:

The amount of time taken away from the child in the classroom by new state and federal regulations and forms has caused a real hardship in meeting the needs of handicapped children. As an example, I estimate that the due process procedures in P.L. 94-142 have taken 20% of the time of special class teachers and specialists. It has also removed regular teachers from the classroom for significant periods, and has consumed large portions of their prep time.

As far as paper work is concerned, our principals estimate that Title I requires an average of 175 to 250 hours per year per building. Title IX forms have consumed somewhere in the neighborhood of 400 hours on the part of administrative personnel. The form 101 paper on minority students about 100 hours of staff time. Much of this time was taken from direct service or planning for kids. Much of the Title I time is related to planning for students and needs assessments but many hours have been spent in administrative forms.

The real cost of the paper blizzard is in time spent with students. Your concerns in this area are greatly appreciated.

Sincerely yours,

Bruce R Anderson

Bruce R. Anderson
Superintendent

BRA:lcs

NS
BA
NATIONAL SCHOOL BOARDS ASSOCIATION
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STATEMENT ON BEHALF OF THE

NATIONAL SCHOOL BOARDS ASSOCIATION

on

PAPERWORK PROBLEMS IN

ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

submitted for the record to the

Subcommittee on Elementary, Secondary and Vocational Education

U. S. House of Representatives

June 10, 1977

Introduction

The National School Boards Association is pleased to have this opportunity to submit a statement to the Subcommittee on the subject of federal paperwork in the public schools. The National School Boards Association is the only major education organization representing school boards members -- who are in some areas called school committees or school trustees. Throughout the nation, approximately 100,000 of these individuals are Association members. These people, in turn, are responsible for the education of more than ninety-five percent of the nation's public school children.

Currently marking its thirty-ninth year of service, NSBA is a federation of state school boards associations, with direct local school board affiliates, constituted to strengthen local lay control of education and to work for the improvement of education. Most of these school board members are elected public officials. Accordingly, they are politically accountable to their constituents for both education policy and fiscal management. As lay unsalaried individuals, school board members are in a rather unique position of being able to judge legislative programs, purely on the standpoint of public education, without consideration to their personal professional interest.

Association policy is determined at the NSBA annual convention at which representatives from across the nation translate policies and resolutions into ongoing programs.

On behalf of of the nation's 16,000 school boards, the Association strongly commends the Subcommittee's efforts to investigate the proliferation of federal paperwork. In addition, we were pleased to see the passage of the Biaggi Paperwork Control amendment during the Education Amendments of 1976. We certainly hope that these hearings and an evaluation of how the Biaggi amendment is being implemented will result in further Congressional action to reduce paperwork.

Recommendations

Before turning to a general discussion of the reasons for the paperwork problem in elementary and secondary education programs, it might be helpful to first list our recommendations with a brief explanation of each.

Biaggi Paperwork Control Amendment

While the Biaggi Paperwork Control amendment (Section 406 of GEPA) represents a significant attempt to reduce paperwork, the amendment could be improved in the following ways.

First, section 406(g)(2)(B), which provides for a 30 day public comment period, does not specifically require that the actual data collection form be made public (i.e., published in the Federal Register) during the comment period -- although common sense would seem to require that the public have access to the data collection form in order to make any meaningful comment. Under current practice, the National Center for Educational Statistics does not print the actual form in its notice to the public. Without the actual data collection form, meaningful comment from interested parties is discouraged. Accordingly, we recommend that language be added to require that the data collection form be published in the Federal Register and be subject to public comment for 30 days thereafter.

Second, section 406(g)(2)(A) requires (i) a justification of how the information will be used and (ii) an estimate of the man-hours required to complete the request for information. The Association recommends that language be added to ensure that the justification includes an operational or management oriented description of which government unit will engage in what kind of activity using what part of the collected information. Without this type of justification, management decisions required to coordinate data acquisition will be hampered. To state simply that requested information is required to carry out a particular law is not a management oriented or operational justification.

Related to managment oriented justification statements are man-hour and cost estimates. Section 406(g)(2)(A) requires man-hour estimates, but it does not require that the estimates be based upon actual experience. In other words, man-hour estimates for the purposes of this section can be developed totally within the halls of HEW. Also, there is currently no requirement for cost estimates to be associated with the man-hour estimates. The Association recommends that language be added to require man-hour and cost estimates be based upon a pre-test of the form or upon data obtained from similar forms. The example of man-hour estimates for OCR Forms 101 and 102, where estimates were understated by a factor of 800 to 1,000 per cent, should not continue. No valid management decision can be made about curtailing paperwork unless there are reasonably accurate estimates of man-hours and costs.

Review Existing Paperwork Requirements

Just as Congress mandated that all federal education regulations be reviewed, opened to public comment, and associated with specific legal authority, so should all existing paperwork requirements be reviewed, opened to public comment, and associated with specific legal authority. The Association recommends that language be added to GEPA to require a review of all paperwork with the intent of eliminating any reporting requirement that is not absolutely essential to the administration or evaluation of federal education programs. Such a review could reduce a number of federal reports which are currently being compiled but are seldom, if ever, used. In addition, existing report forms could be simplifical and consolidated, and recommendations could be made to simplify or clarify existing statutory mandates.

Role of States

One concern of school board members is that a reduction in federal reporting requirements should not be an invitation to increased state reporting requirements. While the state departments of education can play a constructive role in lessening the burden of federal paperwork, school board members are concerned that this "cure may be worse than the disease." Accordingly, any action to reduce federal paperwork must, at the same time, avoid encouraging or requiring substantial increases in state reporting requirements.

Establishment of Procedures

Procedures for the collection of information should be established in law. Adequate lead time, fixed reporting dates that conform with local practice, advance notice of changes in existing reporting forms, and prior consultation with local program administrators should all be set forth. The recommendations of the Commission on Federal Paperwork in this area provide a good base from which specific procedures could be developed.

Reviewing Agency

The Association supports the concept of a paperwork reviewing agency which has no vested interest in the requests for information submitted to it. In this manner reporting requirements could be carefully scrutinized, and, taking into consideration the time, cost, and expected benefits of such requests for information, priorities would be established. The reviewing agency might also be empowered to recommend, in certain cases, that federal funds be used to cover all or part of the cost of the data acquisition activity. The reviewing agency might also waive certain procedural requirements in cases of a one time emergency request for information.

Paperwork: The Problem Defined

In the eyes of many local school officials, "paperwork" has become to mean any activity not related to improving education but required as a precondition for receiving federal funding. While this definition may not be in the dictionary, a recent report on education by the Federal Paperwork Commission found among local educators an increasing hostility and resistance to federal reports, surveys and forms.

Why has the resistance been growing? Quite simply because educators and administrators are wondering whether federal assistance is still worth accepting. After completing each federal paperwork requirement, local educators quite naturally do a quick cost/benefit assessment: Was this worth the effort? Are the educational programs in my district better off now that the paperwork has been done? Unfortunately, these common sense cost/benefit assessments seem to indicate that federally mandated paperwork carries a considerable cost without a commensurate benefit.

Excessive Paperwork: Symptom or Disease?

What has caused extensive federal reporting requirements? Can paperwork, alone, be reduced without changing the current system of federal aid to education? Stated somewhat differently: Is paperwork the problem or simply the symptom of a larger phenomena.

It appears that the growth of paperwork has been made possible by several factors -- some related to the current system of federal aid, and others totally unrelated to the system of federal aid. In other words, excessive paperwork is partly a symptom of the whole federal aid structure and partly a growing "disease" apparent in all aspects of our society.

The Symptom

As a symptom of federal aid to education, paperwork has become more burdensom as the number of different federal aid programs grows. Consolidation of programs or a shift towards general aid would reduce federal reporting requirements. In addition, public schools have been the vehicle of a variety of civil rights reforms. While our Association has supported equal educational opportunity for minorities, women, and bilingual and handicapped individuals, we have become increasingly concerned with the manner in which information is requested, sometimes on an "after-the-fact" basis, sometimes without sufficient lead time, and sometimes without a clear justification for the cost of the information compared to the benefits of its intended use. Better management and coordination, increased involvement of local educators, uniform definitions, cost impact statements, and operational descriptions of how the collected information will actually be used are all factors which could reduce the paperwork burden and, at the same time, improve civil rights enforcement.

The Disease

The advent of the computer and the growth of federal bureaucracy have also contributed to the paperwork problem. The computer greatly faciliates the processing very large quantities of information. However, the computer does not facilitate the actual collection of data, and, to a certain extent, the American public is caught trying to supply enough information to satisfy the immense data processing capabilities of government computers. The ease of processing information, once collected, has led to the "nice-to-know" syndrome. Once basic information is in a computer bank it is always tempting to gather a little extra data "here and there" to satisfy human curiosity. Wouldn't it be nice to know if X is related to Y? The fact that the relationship between X and Y is not essential to the administration of a federal program is somehow forgotten.

The growth of the federal bureaucracy has also contributed to the increase in paperwork. As the government grows more demands are made for accountability. How does the government know what it is doing? The only way a bureacracy can become accountable for its performance is to document everything it does. Congress often requires federal agencies to collect information solely to demonstrate that the agency has, in fact, properly administered a federal aid program. The larger the bureaucracy, the more likely the demands for accountability, and, consequently, the greater the need for information to document that programs are properly administered. Accountability at the local level occurs through a systematic evaluation of how well program goals are achieved. Accountability at the federal level occurs by elaborately documenting that local programs are administered according to federal guidelines -- totally without regard to whether the local programs are achieving their goals. Consequently, the federal agencies require local school districts to make detailed reports, often on a school to school basis, to demonstrate conformance with federal guidelines which may or may not contribute to the overall success of the local program. In addition, a bureaucracy under attack from Congress, the Courts, or public interest groups may engage in information "over-kill" in order to protect itself. The agency must be prepared to answer any question anyone could think of asking. In addition, by baraging its critics with floods of statistical reports, the bureaucracy attempts to increase its own credibility and, at the same time, divert criticism on how well is the agency functioning to less damaging criticism about the accuracy of its statistical reprots.

Finally, the size and complexity of the federal bureaucracy has led to increased reliance on outside contractors to design specialized survey instruments. The agencies have found that it is quicker and cheaper to contract for specialized data collection services than to obtain those services from existing governmental units. As a result, federal officials with some knowledge of the operation of local programs write a work statement for a data collection contractor who, more often then not, has little or no interest in or understanding of local programs. The development of resulting survey instrument is, consequently, twice removed from the situation in which it will be used. In addition, the contractor's only obligation is to fulfill his detailed work statement -- and not to accommodate the concerns of local educators. When program officials object to unreasonable data requests, they must object to federal officials. When the federal officials, in turn, object to the contractor, the contractor can simply maintain that the terms of the work statement have been fulfilled and that federal officials must either correct the situation themselves or rehire the services of the contractor.

An Example: OCR Forms 101 and 102

The most recent Office for Civil Rights Fall Survey of Elementary and Secondary Schools provides a good example of how federal paperwork can go beyond the realm of reasonableness. The Office for Civil Rights expanded the scope of its Fall Survey forms, but did so in such a manner as to evoke hostility and resistance among many local and state school officials. The Commission on Federal Paperwork reports in detail on the development and administration of OCR Forms 101 and 102.

Several factors, however, should be highlighted because they illustrate many of the points in the preceeding discussion. The OCR survey forms were developed by an outside contractor who had previously prepared OCR survey forms. Some consultation with local and state school officials did take place. But, despite previous experience of the contractor and the consultation, the survey instrument was very severely criticized by local and state officials. Evidently, the contractor did not fully understand the practical difficulties of gathering student data in such newly surveyed areas as disciplinary action, drop-outs, and bilingual populations. Consultation with local administrative officials did not seem to have a major affect on revising the survey.

The man-hour estimates obtained from the pre-test were quite different from actual experience. The pre-test group of approximately 50 districts was not adequately representative of the types of districts which had to respond to the surveys. For instance, no pre-tests were performed in districts with enrollments of over 25,000 pupils. In another instance in New England states, no pre-tests were made in the states having a high percentage of minority enrollments. Thus, New Hampshire, with about 1% minority enrollments, was the site of a pre-test but Massachusetts was not.

It is not surprising, therefore, that the pre-test results would misleadingly indicate that approximately 100,000 man-hours would be needed for the nation's schools to complete the survey forms. Estimates based upon a more representative survey conducted by our Association among 141 school districts which completed the forms indicate that approximately 800,000 man-hours were devoted by the nation's schools to completing the forms. The indicators in the OCR pre-test survey were off by a factor of eight. our study also indicates that the OCR Forms 101 and 102 cost school districts about $7.5 million this year. (Our study is appended to this statement.)

In addition to the time and cost factors, the OCR surveys were poorly administered. The "Fall" survey was released just prior to the Christmas vacation period and instructions were given to return the forms by February first. Lead time was non-existant and the deadline was unrealistic for the over 10,000 school districts which had never before received OCR survey forms. In addition, most districts collect their pupil enrollment data during the fall. Sending the forms out at mid-year required a new set of data collection activities not normally undertaken.

Concerning the usefulness or appropriateness of the survey, it does not appear that OCR will be able to actually use the information. The forms do not provide sufficient information to determine a violation of the civil rights statutes. In addition, because there are no standards established to determine compliance based upon the information requested, school districts are not able to use the surveys for the purpose of self-evaluation. The only possible purpose of the form is to lcoate districts which may, by some as of yet undetermined standard, be in violation of the law. However, OCR has already identified the 3,000 school districts which comprise 90% of the nation's minority enrollments. An annual spot check of 10 to 20 percent of those districts each year would probably result in more effective enforcement than spending one or two years analyzing data which could possibly indicate non-compliance as of one or two years in the past.

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APPENDIX

March 10, 1977

COSTS OF COMPLETING OCR FORMS 101 & 102:

RESULTS OF AN NSBA SURVEY

Summary

In order to determine the time and cost involved in completing OCR Forms 101 and 102, the National School Boards Association mailed approximately 420 questionnaires to school districts across the country. As of March 4, 1977, a total of 141 usable responses have been analyzed. Among the school districts, an average of 1.1 minutes per student was required to fill-out the forms at an average cost of $0.17 per student. Applying these averages to the nation's 44.2 million public school students, the OCR forms required a national total of 810,000 manhours at a cost of $7,514,000. Table 1 shows the survey results by size of school district. Table 2 shows the data received from seven school districts with enrollments over 25,000.

TABLE I -- COST OF COMPLETING OCR FORMS 101 AND 102 BY SCHOOL DISTRICT ENROLLMENT SIZE

School District Size	Number of Responses	Percent Completing Both Forms 101 & 102*	Enrollment In Sample Distircts	STAFF HOURS			COSTS (dollars)			Staff Hours Per Pupil (minutes)	Cost Per Pupil (dollars)
				Professional	Non-Professional	Total	Non-Personnel	Personnel	Total		
0- 4,999	100	28	244,100	5,561	1,674	7,235	1,659	32,410	34,069	1.77	0.140
5,000- 9,999	20	20	137,300	818	594	1,412	2,817	15,150	17,967	0.612	0.131
10,000-14,999	7	83	77,500	805	492	1,297	252	11,780	12,032	1.05	0.159
15,000-24,999	7	71	135.100	1,615	1,182	2,797	2,340	29,365	31,705	1.24	0.234
Above 25,000	7	100	362,500	3,602	1,782	5,384	5,235	57,287	62,522	0.89	0.172
TOTAL	141	33	956,500	12,401	5,724	18,125	12,303	145,992	158,295	1.13	0.165

*Most smaller districts were required only to complete Form 101;
most larger districts were required to complete both Forms 101 & 102.

TABLE 2 -- COST OF COMPLETING OCR FORMS 101 AND 102 FOR SEVEN DISTRICTS ABOVE 25,000 ENROLLMENT

School District (Name of Major City/County)	Enrollment	STAFF HOURS Professional	Non-Professional	Total	COSTS (dollars) Non-Personnel	Personnel	Total	Staff Hours Per Pupil (minutes)	Cost Per Pupil (dollars)
Pasedena, California	25,700	90	555	645	100	4,376	4,476	1.50	.174
Evansville, Indiana	28,000	275	149	424	41	4,203	4,244	0.909	.152
South Bend, Indiana	30,300	301	155	456	43	4,118	4,161	0.902	.137
Montgomery, Alabama	35,500	329	141	470	67	3,709	3,776	0.78	.106
Ann Arundal Co., Maryland	78,000	985	198	1,183	4,100	15,797	19,897	0.910	.255
Indianapolis, Indiana	80,000	796	403	1,199	9	17,362	17,371	0.899	.217
Decatur, DeKalb Co., Georgia	85,000	826	181	1,007	875	7,722	8,597	0.710	.101
TOTAL	362,500	3,602	1,782	5,384	5,235	57,287	62,522	0.891	.172

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March 10, 1977

Methodology

On November 29, 1976, NSBA mailed out questionnaries to 420 school districts across the country. The sample population was selected to be representative of one school district in each congressional district. The sample population constituted districts which the individual state school boards associations had previously designated to represent the education interests of the state before their federally elected representatives. Several state associations sent questionnaires to more than one school district in each congressional district. The sample was not randomly chosen for the purposes of this survey, and the sample distribution (see Table 3) is slightly biased toward larger districts. (This bias is explained in part, because very few districts under 300 enrollment were included in the NSBA survey; however, on the national level, these smaller districts comprise 28% of all districts and 1.2% of all enrollments.)

Of all responses received as of March 4, 1977, 18% were either incomplete or obviously in error. No attempt was made to contact these respondents. However, several districts did discover errors and sent in corrected questionnaires.

School districts were asked to account for the staffhours and non-personnel costs involved in completing OCR Forms 101 and 102. Large districts were asked to survey at least 1 out of every 5 schools, but perferably all schools, in determining total staffhours. Estimates accurate to ±25% were acceptable from any district, however, most respondents appeared to have reported actual data.

Personnel costs were computed after the questionnaires were returned by multiplying staffhours times average hourly wage reported for each of four reported salary categories: central office professional and non-professional staff, and school building professional and non-professional staff. Non-personnel costs were simply added together.

TABLE 3 -- DISTRIBUTION OF OPERATING LOCAL PUBLIC SCHOOL SYSTEMS AND NUMBERS OF PUPILS BY SIZE OF SYSTEM (FALL 1975) COMPARED TO DISTRIBUTION OF NSBA SURVEY SAMPLE POPULATION

	PUBLIC SCHOOL SYSTEMS				PUBLIC SCHOOL PUPILS			
	National		NSBA Survey		National		NSBA Survey	
Size of School System	Number	Percent	Number	Percent	Number	Percent	Number	Percent
0- 4,999	14,138	88.1	100	70.9	15,807,523	35.7	244,100	25.5
5,000- 9,999	1,126	7	20	14.2	7,820,441	17.7	137,300	14.3
10,000-24,999	555	3.5	14	9.9	8,070,851	18.2	212,600	22.2
Above 25,000	187	1.2	7	5.0	12,533,059	28.3	362,500	38.0
TOTAL	16,006	100	141	100	44,231,874	100	956,500	100

Statement by

Ewald B. Nyquist
President, The University of the State of New York
and Commissioner of Education

Submitted to the

Subcommittee on Elementary, Secondary and Vocational Education
Committee on Education and Labor
U.S. House of Representatives

Friday
June 24, 1977

Washington, DC

New York State Education Department
Data Systems and Networks: A Success Story

New York State has taken revolutionary and successful steps to eliminate paper burden both within the State Education Department and for local education agencies reporting data to the State Education Department. The campaign to limit the paper burden has two major foci: the development of the Information Center on Education (ICE) within the New York State Education Department, and the development of the New York State School Computer Services System (NYSSCSS) at regional computer centers throughout the State.

Historical Development

The early 1960's stimulus of Federal funding coupled with growing information demands from teachers' unions, the Governor's Office, and the Legislature spurred the State Education Department to a proactive stance on data services.

Although its programs now serve as models for other States, State Education Department data collection in the early years was a paper-and-pencil operation accomplished through the Bureau of Statistical Services. Every State Education Department program unit also collected information to meet its own needs. The result was unreliable, unrelated and untimely data--primarily because duplicative state requests overburdened the LEAs and lengthened the time necessary to get data returns.

Two efforts at improvement began almost simultaneously. State Education Department personnel began to pursue an in-house data revolution, which ultimately produced the Information Center on Education. A committee of Assistant Commissioners was established to review forms and data requests. The Bureau of Statistical Services (BSS) was the committee's administrative arm.

With only two staff persons (eventually four), the BSS began designing a data system to meet state, local and Federal needs. The system was based on an information network that led to and from a central point in the State Education Department. The underlying concept was that less-detailed information would be required by the State Education Department than by a school district. All State Education Department requests were reviewed, analyzed for usefulness, and integrated or dropped. Development of the Basic Educational Data System (BEDS), a unit record system of public school professional staff, was begun in 1965. BEDS was implemented in the Fall of 1967. At the same time, the Information Center on Education (ICE) was established in response to a need for additional personnel to provide data services.

Almost simultaneously, the State began a long-range effort to relieve LEA paper burden by using Board of Cooperative Educational Services Centers' (BOCES) regional computers located throughout the State. A computer network, the New York State School Computer Service Systems (NYSSCSS), was formed to serve State data-gathering needs. This arrangement to cut costs, error and paper burden would allow the most complicated and lengthy LEA reports to be computer-generated at BOCES. The data would be collected by the NYSSCSS centers from the LEAs in normal accounting throughout the year. The prepared reports then would be sent to LEAs for review and signature. This process would eliminate massive and duplicative reporting from the districts. Initial participation of the districts in the NYSSCSS network was to be voluntary.

The Current Situation

The Information Center on Education is now comprised of two units, the Bureau of Statistical Services and the Bureau of Educational Data Systems. ICE is responsible for the identification, implementation and operation of data systems in all areas of education. It also coordinates all data collection procedures within the State Education Department.

From its several data systems, ICE produces descriptive reports to State Education Department personnel, and statistical reports for the Department and for LEAs. Subjects range from elementary, secondary and higher education to nonpublic, vocational and continuing education. ICE responds to special information requests from Department staff, the Governor's Office, the Legislature, researchers, LEAs and the public. ICE also approves and coordinates State Education Department data requests going to LEAs to avoid duplicative and unnecessary reporting. Appeals from ICE decisions on these matters are handled by the Executive Deputy Commissioner. ICE also develops new data systems in response to emerging needs such as the education of handicapped children.

The Basic Educational Data System, the keystone for elementary/secondary information, utilizes machine-readable forms collected directly from over 180,000 teachers and administrators on a single day in the fall of the school year. Data collection is standardized and carefully controlled. Input is almost error free. Detailed information is collected, maintained and disseminated on students, curriculum, staff and school characteristics. ICE also has access to financial and attendance data stored in the computer by NYSSCSS.

Currently, 80 school districts throughout the State are submitting computer-taped attendance data directly to the State through the NYSSCSS system. Fifty additional districts are submitting financial data on tape through NYSSCSS. These districts were selected for a pilot program because they presently have the capacity to produce the needed data through a BOCES. About 500 additional districts participate in the network for at least part of the available services. Participation is voluntary. Services are purchased from BOCES along with other cooperative educational services. By 1978, however, districts not belonging to the computer network will be required to submit financial data on magnetic tape to the State Education Department.

Ways In Which ICE and NYSSCSS Beat the Paper Burden

The Information Center on Education relieves the paper burden on the State Education Department, on local education agencies and on institutions of higher education in a variety of ways.

At the State level, costly and time-consuming key entry processes are eliminated by the use of machine-readable forms for data collection. Paper burden and errors caused by hand tabulation are almost eliminated.

Timeliness of data is greatly improved by high-speed computer production of summaries of basic and derived data. Information obsolescence costs are removed. Data needs can be met more rapidly, more efficiently, and in greater depth from a central computer clearinghouse. Moreover, data collected on elementary and secondary schools since 1967 have been merged into a consolidated data base. This merger taps the tremendous potential for interrelating data elements and cuts response time on various data aggregations. Units in the State Education Department have the data needed for planning and problem-solving, when they need it, from a single central source.

Annual updating of the file is equally efficient. Since certain items of information are stable (such as sex, date of birth), and since other items (such as experience) can be calculated automatically, annual updating takes considerably less time than initial data collection.

The paper burden upon reporting LEAs is also eased since most of the information for the year is collected at a single stroke. Duplication and multiple requests have been slashed. In the first year, four forms replaced the 22 state forms previously required to gather data from schools. LEA paper burden is further trimmed because the data system provides state-level responses to a wide variety of recurring outside agency reports. These agencies include: New York State United Teachers, the U.S. Office of Education, the National Education Association, the National Center for Education Statistics, the Bureau of the Census, and other professional associations. Without the system, LEAs would have to complete reports requested by such agencies, often calling for similar information. The same capabilities are used to respond to legitimate requests for research information, again relieving the burden on LEAs. All requests are governed by a strict policy concerning the confidentiality of personally identifiable information.

The New York State Education Department has also reduced the paper blizzard in 250 colleges and universities within the State. To do this, the State Education Department has combined its information needs with those of the U. S. Office of Education. The State Education Department uses forms developed by USOE, adding brief supplements where required. ICE further trims paperwork at these institutions by mailing, receiving, editing and returning all of these USOE forms to Washington, assuring the presence of identical data at State and Federal levels.

The NYSSCSS network is equally prolific in remedying the paper problem. For example, NYSSCSS generation of LEA reports--particularly the lengthy annual attendance and financial reports--can eliminate a great deal of duplicative work for local districts. The annual reports will be sent on computer tape through the BOCES to the State Education Department.

This year, the new program has more than cut in half the number of separate financial items which districts must report. It has done this by combining certain forms and eliminating repetition in figures which must be reported to the Department of Audit and Control and to various offices within the State Education Department which have responsibilities for overseeing the financial reports of local school districts.

For example, the number of items of information to be reported on the 1976-77 annual financial report, which must be filed by all school districts this summer, has been reduced by 46 percent--from 4,723 items to 2,544 items. Similarly, the information items requested on the annual independent auditors report has been reduced by 78.5 percent--from 4,723 items to 1,017 items.

Currently, the State Education Department is testing calculations of State aid for districts directly from district financial statements. This will eliminate at least three forms previously required from LEAs, cutting LEA staff costs and calculation time.

Beneficiaries

The Basic Educational Data System (BEDS) and NYSSCSS systems provide tremendous benefits to New York education by reducing the paper burden. The prime beneficiaries are our students. For example, new programs such as the middle school can be readily identified for further study. Similarly, curriculum trends can be located and followed closely. Moreover, summary data can provide individual school districts with meaningful comparisons to help measure their own particular needs. In short, New York State students are studying under an educational system that can make the most of current and past experience in creating policy for the future.

For the educator, New York's Basic Educational Data System provides a sound starting point for decision-making and planning. The system's potential application in these and other areas is limited only by the educator's innovative ability. Paper burden relief provided by BEDS and NYSSCSS allows time for such planning activity. The researcher also not only avoids duplication of effort and saves valuable time for the schools, but he or she is also assured that samples are reliable and up-to-date.

Without question, BEDS and NYSSCSS provide more and better educational information than has ever been available. Consequently, the Board of Regents, the Commissioner of Education, the Legislature and the Governor's Office have added assurance that their educational programs and legislative proposals meet educational needs that are current, vital, and objectively determined. Generally, then, the systems help the public official maintain New York State's strong governmental support of quality education and assure continued progress.

Finally, the Federal Government benefits from New York State's efforts. The production of high quality educational data for New York State use also means that such data are available to Federal policymakers. In this period of educational crisis, timely, accurate and comprehensive data are an invaluable tool at Federal levels.

Recommendations

Recently, representatives from 44 States and Territories attended a conference in Albany, New York, to learn about the implementation of educational data systems by the New York State Education Department. The conference, co-sponsored by the State Education Department and the National Center for Education Statistics, resulted from multiple requests by States wishing to visit the State Education Department to learn about its data systems. Participants came from as far away as Saipan.

It is important to remember that successful solutions to data problems must be particularistic ones. The BEDS and NYSSCSS programs serve New York's educational data needs, but these systems are not universal solutions. There are, however, some points about the implementation and operation of data systems which are generalizable. These are contained in Appendix A.

The paper blizzard points out the need for adjustments at Federal levels. First, the Federal Government should seek accurate assessments from the

States regarding data capacities to avoid legislation imposing data requirements which are impossible for States to meet.

Secondly, States are exhibiting an obvious interest in relieving the paper burden by improving the capacity of their educational data systems. The potential Federal benefit from such state capacity-building has already been mentioned, while the growing demand for a reliable data base for Federal planning and policy-making is even more evident. States, however, have committed all they can to this effort. For example, for the 1976-77 year, New York State's total spending on automated information systems to cut paperwork was nearly three and one-half times the Federal contribution for that year (See Table A). New York is not unique in that regard.

TABLE A

EXPENDITURES BY SOURCE FOR THE DEVELOPMENT,* OPERATION AND MAINTENANCE OF STATISTICAL AND AUTOMATED INFORMATION SYSTEMS

New York State Education Department

1976-77

Expenditures	Information Center	Data Processing	Total
State	$499,334	$647,576	$1,146,910
Federal	173,048	160,424	333,472
Total	$672,382	$808,000	$1,480,382

*Development refers to 1976-77 developmental budget only.

Current levels of Federal assistance are sadly inadequate. If States are to make significant improvements in their information systems capability--improvements which will ultimately benefit the Federal statistical systems and assist in reducing the paper burden on local education agencies--they must have help. A vehicle for providing such help already exists.

The National Center for Education Statistics has been mandated in Public Law 93-380 to "assist state and local educational agencies in improving and automating their statistical and data collection activities." To date, the assistance program of NCES has been woefully underfunded. It needs immediate support in the form of additional Congressional appropriations.

APPENDIX A

ORGANIZATION DEVELOPMENT PRINCIPLES RELATED TO THE IMPLEMENTATION SUCCESS OF THE NEW YORK STATE EDUCATION DEPARTMENT'S DATA SYSTEMS

Top management made a firm commitment to the project, leading to successful implementation.

Presentation of the data systems project to top management earned a firm commitment to the project consistent with the leadership's proactive planning orientation for educational progress.

Input from a variety of NYSED staff and flexibility for responding to legitimate information needs helped to make the projects successful.

The project plan was presented to, and discussed with, staff of various divisions prior to implementation. Although data requests were reviewed against strict criteria of potential utility and actual use, flexibility for responding to legitimate data needs was built into the system.

Skills in spanning organizational boundaries were possessed by data systems management personnel. These personnel were critical elements in the programs' success.

Many attributes of our data systems management personnel contributed to the success of the program. Among them were:

--wide social science background and extensive training as professional educators;

--intensive working knowledge of the goals, functions and data needs of personnel in other departments;

--ability to relate MIS data capacities to the data needs of various departments; and

--leadership and human relations skills.

Freedom to perform an educational service role has aided program success.

ICE has been given service responsibilities only. It does not collect evaluation data, Federal program applications (except to check for commonality in data elements), data on SEA payroll or personnel, or individual student information. Neither does it monitor program compliance.

High quality service and a service philosophy contributes to success.

Commitment to accuracy, efficiency, and service characterize this division. Data are collected to be given away.

Adaptability is essential.

ICE is in a state of continual development, adaptation and growth to meet new needs. This means not only establishing new services, but refining current services.

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Albany, New York 12234

APPENDIX B

INFORMATION CENTER ON EDUCATION

The Information Center on Education was established in 1967, and is composed of two units--the Bureau of Statistical Services and the Bureau of Educational Data Systems. It is charged with the responsibility for the identification, implementation and operation of data systems in all areas of education as well as the coordination of all data collection procedures within the State Education Department.

The Bureau of Educational Data Systems:

1. develops, implements and operates educational data systems for the purpose of assembling information in all areas of the State's educational enterprise;

2. advises and assists Department units and school authorities in procedures for the implementation and use of data systems;

3. coordinates all data collection procedures within the Department;

4. advises and assists Department units in the design and use of forms and survey instruments.

The Bureau of Statistical Services:

1. analyzes, interprets and disseminates data relating to public and nonpublic elementary and secondary schools as well as colleges and universities of the State;

2. recommends policies and procedures for processing statistics;

3. plans, supervises and conducts special statistical surveys and studies;

4. advises and assists other Department units and school authorities on the conduct and design of experiments as well as the statistical analysis of experimental data;

5. prepares projections and estimates.

The following paragraphs provide a capsule review of these activities.

It will be apparent that the developments listed were not, and could not be achieved by the Information Center alone. None would have been possible without the cooperation of local educational agencies and the many operating units of the Education Department who worked, and continue to work diligently with Information Center staff members to initiate and improve Department information systems. While the many Department units involved will not be enumerated here, special note must be made of the contributions of the Division of Electronic Data Processing which has shared equally with the Information Center the responsibility for and effort expended in bringing about the developments noted.

BASIC EDUCATIONAL DATA SYSTEM

In the fall of 1967, and after two years of development, a completely new and comprehensive information system on public elementary and secondary schools was implemented--the Basic Educational Data System. Through this system, most of the information needed by the Education Department on public elementary and secondary schools is collected or a given day in the fall of each year and, by the use of machine-readable forms and automatic data processing, various outputs are produced which provide timely information for multiple purposes. They include:

1. Descriptive Reports--Reports are produced for the various general and subject supervisory units of the Department and are of two basic types:

   - Comprehensive school reports are produced for the Bureau of Elementary and Secondary School Supervision. These reports (one for each public elementary and secondary school in the State) include: enrollment by grade, daily session data, instructional room inventory, distribution of last graduating class (if secondary school), number of dropouts, special programs or activities (including participation in regional programs, closed or open circuit television, programmed learning, prekindergarten program, flexible or modular scheduling and others), class size data, teacher load data, a complete faculty listing (with information about each individual, e.g. degree status, certification status, experience) and selected salary data.

   - Subject faculty reports are produced for the subject supervisory bureaus. These include: enrollment by grade, daily session data, instructional room inventory and detailed information about faculty in a particular subject area including name, degree status, certification status, years of experience (4 categories), type of appointment, title of each course taught, number of pupils in each class, grade level, type of pupils (e.g. below average, average), number of periods the class meets a year.

   - These reports are the major source of information the bureaus have about the schools and their programs.

II. Statistical Reports--A wide variety of statistical analyses of characteristics of public school professional staff are produced, including such factors as salaries, degree status, certification status, experience, sex, age and racial/ethnic characteristics. Summaries of various factors are available by school, school district, county, geographic region and for the total State.

In addition, several pupil statistics are also generated including enrollment by grade, racial/ethnic characteristics and course registration data as well as student staff ratios, class size and student load. These data are also available at various levels of aggregation.

Copies of these reports are regularly returned to school districts and are used by the districts and teacher groups in contract negotiations.

It should be noted at this point that the information contained in the personnel file of the Basic Educational Data System is covered by a strict policy of confidentiality. That policy is shown as Attachment A.

The Basic Educational Data System has enabled more rapid summarization of a greater quantity of information about the public schools in New York State than was previously possible and, at the same time, has substantially reduced hand tabulation, duplication of effort and multiple requests for the same data in the Education Department. During the first year of the Department's consolidation of data collection activities over 20 annual reporting forms were eliminated from use. It is, of course, not possible to determine the number that have been eliminated (or prevented) since then due to the ability of the Information Center to respond to information requests which would normally have required a special survey or new form.

The number of requests for information going out to the schools is further reduced because the system is able to respond, at the State level, to a wide variety of recurring reports from outside agencies that otherwise would have been sent to local school districts. These agencies include: New York State United Teachers, the U.S. Office of Education, the National Education Association, the U.S. Office for Civil Rights, the Bureau of the Census and other professional associations.

III. Special Request Reports--Each year, a wide variety of information is supplied from the Basic Educational Data System to users both within and outside of the Education Department. In addition to data regularly distributed to Department units and that returned to school districts as standard output, the Information Center handles literally hundreds of special requests each year. The requests vary from those which can be handled quickly, by phone or reference to a publication, to those of a very complex nature requiring special analysis and computer programming. The nature of these files are such that complex interrelationships among data elements can be obtained along with a longitudinal record of the progress of education in the State. Lacking such a broad based information system, the Department would be unable to answer these very legitimate requests for information. In addition, both the Department and the school districts would be called upon to file duplicative data requests which are now available quickly from a single source.

Listed in Attachment B are a few exam[illegible]he kinds of information generated from Information Cent[illegible] highlight the decision making utility of the System.

INTEGRATION OF DATA FILES

Since 1967, the Information Center on Education and the Division of Electronic Data Processing have developed an integrated information system of some magnitude for elementary and secondary schools. In addition to the student, curriculum, staff and school characteristic data contained in the Basic Educational Data System, detailed information on public school district finance and attendance, as well as on nonpublic schools, has been available in machine readable form and interrelatable through a common coding structure. The Pupil Evaluation Program, developed in the Regents Examination and Scholarship Center, also uses this common coding structure.

In the past, each of these files have been maintained independently, in a sequential mode on magnetic tape, and the ability to interrelate the data elements contained therein has depended mainly on the availability of systems analysis and programming time--and personnel--in the Division of Electronic Data Processing. While it is clear that this information has been by no means wasted and has served well all facets of the educational and political enterprise, it is also evident that the tremendous potential for interrelating these data elements has never been realized. In addition, it has been found that it is virtually impossible to anticipate the many and varied interrelationships and aggregations of data that are requested throughout the year.

To meet these problems, the Information Center on Education and the Division of Electronic Data Processing have designed a Consolidated Data Base (CDB) which merges the data from several different files into one. The combined file is maintained on random access disc storage for easy retrieval.

The availability of a Consolidated Data Base will cause the information regularly received by the Education Department to be better utilized and its customers better served.

HIGHER EDUCATION DATA SYSTEM

The Information Center on Education also has responsibility for data collection and coordination in the area of higher education. As with elementary and secondary schools ICE has attempted to reduce the reporting burden placed on the 250 colleges and universities of the State. To that end, the Education Department has, since 1966, combined its information needs with those of the U.S. Office of Education. Basically, the Department uses the forms developed by U.S.O.E.--the Higher Education General Information System (HEGIS)--adding brief supplements where required. Information is received in the areas of enrollments and admissions, faculty, degrees awarded, institutional characteristics, student migration, libraries and finance. The data are entered into a computerized system and are available at various levels of aggregation.

The Information Center coordinates the data collection for the Federal government by mailing, receiving, editing and returning all HEGIS forms to Washington thus assuring the presence of identical data at both the State and Federal levels.

NONPUBLIC SCHOOL REPORTING

The Information Center also collects data on nonpublic schools in a form compatible and interrelatable with that collected on public schools. The revised reporting procedure was used for the first time in the fall of 1969.

CONTINUING EDUCATION REPORT

This annual report was developed in conjunction with the Division of Continuing Education and includes data on enrollments, teachers and fees associated with continuing education programs operated by public school districts and BOCES.

SURVEYS

As a part of the total information system concept a number of indepth surveys are scheduled each year for the various program units of the Education Department. These surveys are designed to provide in-depth information for the program officers not available from data gathered in the regular reporting stream.

EDUCATIONAL MANPOWER INFORMATION SYSTEM

Utilizing already existing Department files, thereby obviating the need for additional data collection, the Information Center has developed an elementary/secondary Educational Manpower Information System designed to serve as a base for the planning and development of professional education manpower training programs in the colleges and universities of New York State. Specifically, the System will provide precise and timely information in the following areas:

1. the existing educational manpower in public elementary and secondary schools;

2. the potential pool of educational manpower produced by teacher training institutions;

3. the potential pool of educational manpower not currently employed in a New York State school district;

4. the turnover rates of educational manpower in all sectors of the public education system.

DATA COORDINATION

The Information Center has been charged with the coordination of all data collection with the Department. As a part of that responsibility, the Information Center reviews and approves all data collection instruments to be sent by Education Department units (or those prepared by contractors to the Education Department) to any institution or person within the University of the State of New York. If the Information Center withholds clearance of any form, the decision is appealed to the Department's Executive Deputy Commissioner.

DATA ANALYSIS AND DISSEMINATION

As a service unit, the Information Center on Education is called upon daily to analyze, interpret and disseminate information to offices and agencies both within and outside the State Education Department. The Information Center advises and assists other Department units in the design and conduct of experiments and in the statistical analysis of experimental data. It also has responsibility for the preparation of projections and estimates.

Mentioned earlier are types of information requests answered directly through automated files. In addition, however, five to six recorded man years of clerical effort are annually expended in answering information requests. As a part of its analysis and dissemination effort the Information Center also publishes a number of annual and special documents which are listed in Attachment C.

Attachment A

THE UNIVERSITY OF THE STATE OF NEW YORK
The State Education Department
Information Center on Education
Albany, New York 12224

THE NEW YORK STATE EDUCATION DEPARTMENT'S OPERATING POLICY CONCERNING INFORMATION CONTAINED IN THE PERSONNEL FILE OF THE BASIC EDUCATIONAL DATA SYSTEM

1. The Director of the Department's Information Center on Education, subject to the general provisions of this Statement, will be responsible for the Personnel File of the Basic Educational Data System.

2. Statistical summary data, involving no problems of confidentiality, will be made available to users within and outside of government upon request, and subject to the limitations of time and manpower.

3. The social security number of an individual will not be used outside the Department's file and will not be released for use by any other agency, public or private.

4. Names of individuals will be released to bona fide professional organizations and for purposes of serious, educationally related research.

5. Demographic information and professional characteristics associated with names of individuals will be released only for purposes of serious, educationally related research and only after the person or persons requesting it has obtained prior permission, from each individual, for its use. In addition, information so supplied must be treated confidentially, and may not be released to any other person or agency, public or private.

Attachment D

EXAMPLES OF SPECIAL REQUESTS FOR INFORMATION GENERATED FROM FILES MAINTAINED BY THE INFORMATION CENTER ON EDUCATION

- The State University of New York at Buffalo has used longitudinal data on public school administrators to determine whether the University's programs in educational administration and supervision are directed at areas of need.

- A detailed analysis of staffing ratios in the public schools was undertaken for the Governor's Office to assess the feasibility and impact of tying state aid payments to such ratios.

- In 1972, the New York State Commission on the Quality, Cost and Financing of Elementary and Secondary Education produced a three volume report based in large measure on information contained in files maintained by the Information Center on Education. In a letter from the Commission's Director of Research he stated: "First, in our work as a Commission, we have found BEDS invaluable. To make the point even more forceful, we could not have done our work without it. Fortunately, BEDS has been developed long enough that we have been able to use a wide variety of data not only for obtaining a static profile of primary and secondary education in this State, but also to evaluate how various things have changed over time.

  "Secondly, the needs of the Commission aside, the demand for such a data bank as BEDS for a wide variety of educational policy decisions is beyond question. It is our estimate that BEDS surpasses the educational data banks in any other state. This is not to suggest that other states don't need similar systems. On the contrary, it seems to us that the complexities of the public education enterprise, if not the present, and likely to recurring, fiscal problems, require such information as BEDS can provide for informed decision making."

- A detailed analysis of the characteristics of occupational education teachers across the State was undertaken for the Cornell Institute for Occupational Education. The information will be utilized to form the basis of a Needs Assessment Study of Occupational Educational Personnel in New York State.

- A special analysis of New York City public school professional staff has been undertaken for the City's Bureau of Personnel.

- A special analysis has been undertaken for the New York State Association of School Nurse Teachers. The information will be used in conjunction with development of legislation, permitting an assessment of the fiscal impact of such legislation.

- Detailed characteristics of each school in New York City have been provided, on tape, to that City's Vice-Chancellor.

- A comprehensive set of data has been supplied to the Department's Office of Occupational Education Planning for use in fulfulling Federally mandated reporting requirements as well as in the development of their statewide master plan.

- The City University of New York is using extensive information from the files in a comprehensive research study of New York City high schools.

- Researchers at Cornell University are using BEDS and related information in a study of the administrative structure of schools as it relates to achievement.

- The New York State Department of Audit and Control has requested and received information on nonpublic schools in relation to their audit function of state aid payments.

June 13, 1975

Attachment C

ANNUAL PUBLICATIONS OF THE INFORMATION CENTER ON EDUCATION

Title	Explanation
1. Education Statistics Estimates	1. Produced in September of each school year, this one page sheet provides current year estimates, plus four years of trend data, of key educational statistics including enrollments, staff, graduates and expenditures.
2. Education Statistics, New York State, Prepared Especially For Members of the Legislature	2. A pocket size booklet, this publication is made available to legislators and their staffs at the opening of the legislative session to provide a brief overview of the condition of education in the State. It contains past, current and projected data, along with brief written analyses of educational statistics.
3. Survey of Enrollment, Staff and Schoolhousing	3. A detailed presentation of public school enrollment and staff data for each public school district for the current school year, this publication is available in the spring of each school year. It is used as both an historical time series and for comparative research purposes.
4. Nonpublic School Enrollment and Staff	4. Data are presented in summary and disaggregated form (by county and religious affiliation). The publication is available in the spring of each school year and is used as both an historical time series and for comparative research purposes.
5. Racial/Ethnic Distribution of Public School Students and Staff	5. Historical and current disaggregated data (by school district) are presented in this publication which is available in the spring of each school year. It presents the racial/ethnic composition of the State's public schools and serves as an historical time series and for comparative research purposes.

6. Code Manual for Public School Districts in New York State	6. The single source for school district codes used by the field and all units of the Education Department which receive reports from the schools of the State.
7. Distribution of High School Graduates and College Going Rate	7. Available in the spring of each school year this publication shows historical and current disaggregated data (by county) for both public and nonpublic high school graduates. It is widely used by both elementary/secondary and college administrators for planning, as an historical time series and for comparative research purposes.
8. Annual Educational Summary, Statistical and Financial Summary of Education in New York State	8. This publication continues an annual time series begun in the early 1900's. It presents pertinent statistics for a current school year and trends for earlier years. While emphasis is placed on summary tables and figures, individual school district data are shown for revenues, expenditures, property value and attendance--the only place these data are published. It is used as an historical time series and for comparative research purposes.
9. Projections of Public and Nonpublic School Enrollment and High School Graduates in New York State	9. Presents 20 year projections by grade within geographic region. Published periodically, this report is widely used for planning purposes by both elementary/secondary and college administrators.
10. Directory of New York State Public Schools and Administrators	10. Published in the early fall, this is the sole reference available which shows names, addresses and telephone numbers of chief school officers and school principals. It is in exceptionally high demand. After an initial distribution within the Department and to school administrators, additional copies are sold on request.

11.	Directory of Nonpublic Schools and Administrators	11.	Published in the early fall, this is the sole reference available showing names, addresses and telephone numbers of nonpublic school principals. It also shows the registration status of nonpublic high schools and is in exceptionally high demand.
12.	College and University Enrollment (Preliminary Report)	12.	Published in the early winter of the current academic year, this publication presents opening fall enrollment data to the higher education community for planning purposes.
13.	College and University Admissions and Enrollment	13.	Published after the close of the academic year, this report presents a detailed analysis in summary and disaggregated (by college) form. It is used as both an historical time series and for comparative research purposes.
14.	College and University Degrees Conferred	14.	Published after the close of the academic year, this report presents a detailed analysis in summary and disaggregated (by college and subject area) form. It is used as both an historical time series and for comparative research purposes.
15.	Employees in Colleges and Universities	15.	Published after the close of the academic year, this report presents data on the number and salary levels of college and university employees by type and level of position, type of institution and sex of the employee. It is used both as an historical time series and for comparative research purposes.

PADUCAH
PUBLIC
SCHOOLS

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Lawrence Albritton
Robert L. Herriford
Rev. Tim Taylor
Peggy Tripp, Secretary

June 27, 1977

The Honorable Carl Perkins
U. S. House of Representatives
Washington, D. C.

Dear Congressman Perkins:

During this past school year much discussion has been devoted to the problems and the necessity of completing Office for Civil Rights Forms 101 and 102. We recorded the amount of time necessary to complete these forms for the Paducah School District. The Paducah Schools currently have an enrollment of 4,439 which is approximately 30% black students. During the past school year, we spent in excess of 2,000 hours gathering information and completing these forms. Most of this time, because of the nature of the information needed, had to be spent by principals, assistant superintendents and directors of pupil personnel. The direct cost of completing these forms in our school district exceed $15,000 or more than $3.00 per student.

Any effort which you can take to eliminate these forms and other needless data gathering by OCR or other federal agencies would be appreciated by all of us in Paducah.

Sincerely,

Dave W.

David Whitehead, Superintendent
PADUCAH PUBLIC SCHOOLS

DW:csr

Education Commission of the States
300 LINCOLN TOWER • 1860 LINCOLN STREET
(303) 893-5200 • DENVER, COLORADO 80203

June 27, 1977

The Honorable Frank Horton
Chairman, Commission on Federal Paperwork
Rayburn House Office Building, Room 2229
Washington, DC 20515

Dear Honorable Horton:

Having followed the hearings held by the Commission on Federal Paperwork, the National Assessment of Educational Progress (NAEP) has two concerns. First, it appears that no distinction was made during the hearings between mandatory and voluntary studies. With a mandated study, school officials must respond to the survey, regardless of the impact, unless they are willing to face the possible loss of funds; with a voluntary study, school officials have the option of considering the impact of participating and making a decision on this basis. Secondly, it appears that the hearings did not address the attempts that some projects have made to minimize the impact upon schools, school officials, and students. The Commission is urged to consider these two points as it is asked to make recommendations for legislation regarding the future collection of educational data.

Participation in the National Assessment of Educational Progress is on a voluntary, rather than mandatory, basis. The cooperation rate for selected sample schools has varied from 92 to 95% for the eight years that NAEP has collected data. National Assessment believes that it has maintained this high rate of participation because it has designed its data collection procedures to minimize the impact upon participating schools and students. The procedures were developed and have been refined to insure the voluntary cooperation of selected schools and to standardize the information collected.

NAEP

NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS

Within a participating school district, the principals of the schools selected for participation are each asked to complete a two to four page principal's questionnaire. The questionnaire takes approximately 20 minutes to complete and is designed to provide school level information, such as the type of community the school serves, that will be used to report the data. National Assessment makes a concerted effort to limit the amount of information collected at this level.

The selected schools are also asked to complete a student listing form of all age eligible students. Although it is possible for the NAEP field staff to complete the student listing form themselves, National Assessment prefers to have the schools complete the form as the information is often taken from individual student records. If this creates a burden on the school staff, the field staff are instructed to complete the form themselves (with the school's permission) or to reimburse the school for the extra time and effort required in completing the form.

It should be noted that for most school districts in the United States, a request to participate in the assessment occurs only once in a four-year time span. For the school districts within the 13 largest metropolitan areas of the country, NAEP has drawn its sample so that individual schools are included in the sample only once in a four-year time span. Thus, both the sampling procedures and the information collected at the school level have been designed to minimize the impact upon participating schools.

While it would be ideal from a measurement viewpoint for each student to take all six hours of assessment materials, National Assessment realized that this would place an unreasonable burden on both students and their schools. Instead, the six hours of assessment materials are divided into 10 or more booklets at each age level and students are asked to respond to only one booklet. The booklet requires approximately 50 minutes of the students' time. NAEP also hires local field staff to administer the assessment materials to the students so that a burden is not placed upon teachers or local administrators. These steps were taken to minimize the impact upon both students and schools.

The NAEP sample has been designed so that a sample of 2,200 to 2,500 respondents to a booklet allows the project to reliably estimate the performance of the entire age group population to the questions contained in that booklet. Each year, approximately 80,000 students participate in the assessment; their participation allows National Assessment to reliably estimate the performance of 12 to 13 million students.

As the Federal Commission on Paperwork concludes its work and prepares to make recommendations to Congress, National Assessment would encourage the Commission to make a distinction in the recommendations between voluntary and mandatory studies. While it may be necessary to limit the magnitude of data collected as a part of mandatory studies, such restrictions should not necessarily be required for voluntary studies. Hopefully, the lack of restrictions on voluntary studies would encourage such studies to place realistic limits upon the demands made on school officials and respondents. If not, school officials would have the option of refusing to participate in voluntary studies--which would provide added incentive for such studies to limit the respondent burden.

If you have any questions or if I can be of assistance to you, please do not hesitate to contact me.

Sincerely,

Roy V. Forbes

Roy H. Forbes
Director

RHF/eps

cc: Mr. Jack Jennings ✓
House Subcommittee on Elementary,
Secondary, and Vocational Education